



Canada Border
Services Agency

Agence des services
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eManifest Project Recovery

Delivery Approach

Briefing to the Executive Committee (EC)

June 26, 2014

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Background

- On April 24, 2014 Options Analysis for eManifest Project Recovery were presented to Executive Committee (EC)
- EC approved the project team to proceed with the detailed planning, risk mitigation and third party endorsement activities for Option 2 - a hybrid delivery model addresses four (4) main risk areas and focuses on augmenting the current team competency and capacity with different forms of vendor relationships
- On May 9th 2014 a draft Detailed Project Plan with costs was presented to the AVP ISTB
- On May 30th 2014 preliminary findings from the 3rd party risk mitigation activities (architecture review, benchmarking, and sourcing analysis) were delivered
- On June 9th 2014 the 3rd party draft risk assessment report was delivered identifying remaining risk areas for the Option 2 Detailed Project Plan
- On June 12th 2014 the final 3rd Party risk assessment report was delivered with key recommendations for moving forward

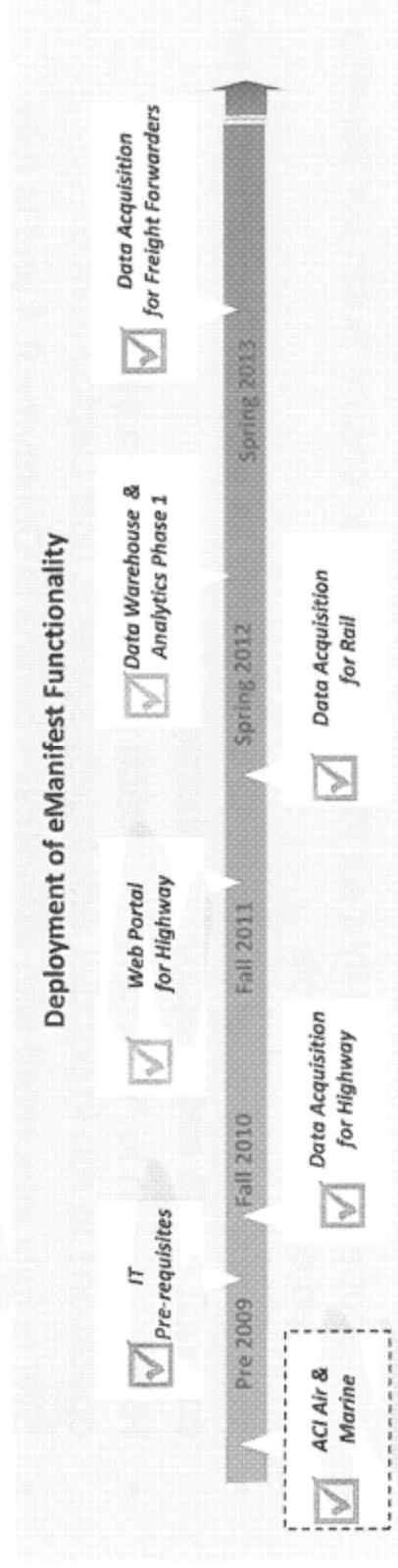


New Delivery Approach

- ✓ The new delivery approach is supported by CBSA resources and is augmented with external support to do parallel work that will generate early, tangible benefits to confirm development milestones are being met and provide support for front-line operations.
- ✓ The revised plan will provide additional time to train CBSA staff and conduct outreach to external stakeholders to ensure a successful implementation.
- ✓ The plan addresses external clients' requests for more time to make changes to their internal business processes and systems in order to adapt to the new requirements.
- ✓ Delivery Scope is segmented into six (6) Deployments to ensure Business Benefits are delivered earlier in the cycle
 - Incremental stakeholder exposure to functionality as early as Deployment 2 (and continuing with each deployment thereafter)
 - Risk mitigation to "Big Bang" approach - newly deployed eManifest system operations to run in parallel with legacy systems until Deployment 5
 - SWI is fully integrated with eManifest – begins in Deployment 4 and is fully integrated and deployed as a part of Deployment 5
 - Crew and electronic re-manifest requirements have been removed from scope and will be delivered as a part of the larger CBSA border modernization program



eManifest Key Accomplishments to Date



Systems Deployed:

- ✓ Highway Cargo and Conveyance Reporting
- ✓ Rail Reporting
- ✓ eManifest Portal
- ✓ Freight Forwarder Reporting
- ✓ Air and Marine Conveyance Arrivals
- ✓ Manifest Forward
- ✓ Data Warehouse

Implementation Highlights:

- ✓ Over 11,000 highway carriers now engaged with eManifest
- ✓ 97% of Top 500 Carriers engaged
- ✓ Regulations progressing
- ✓ Multiple rounds of training for BSOs
- ✓ Regional network in place
- ✓ Established a program alignment structure to resolve outstanding issues
- ✓ Webinars, web content, presentations

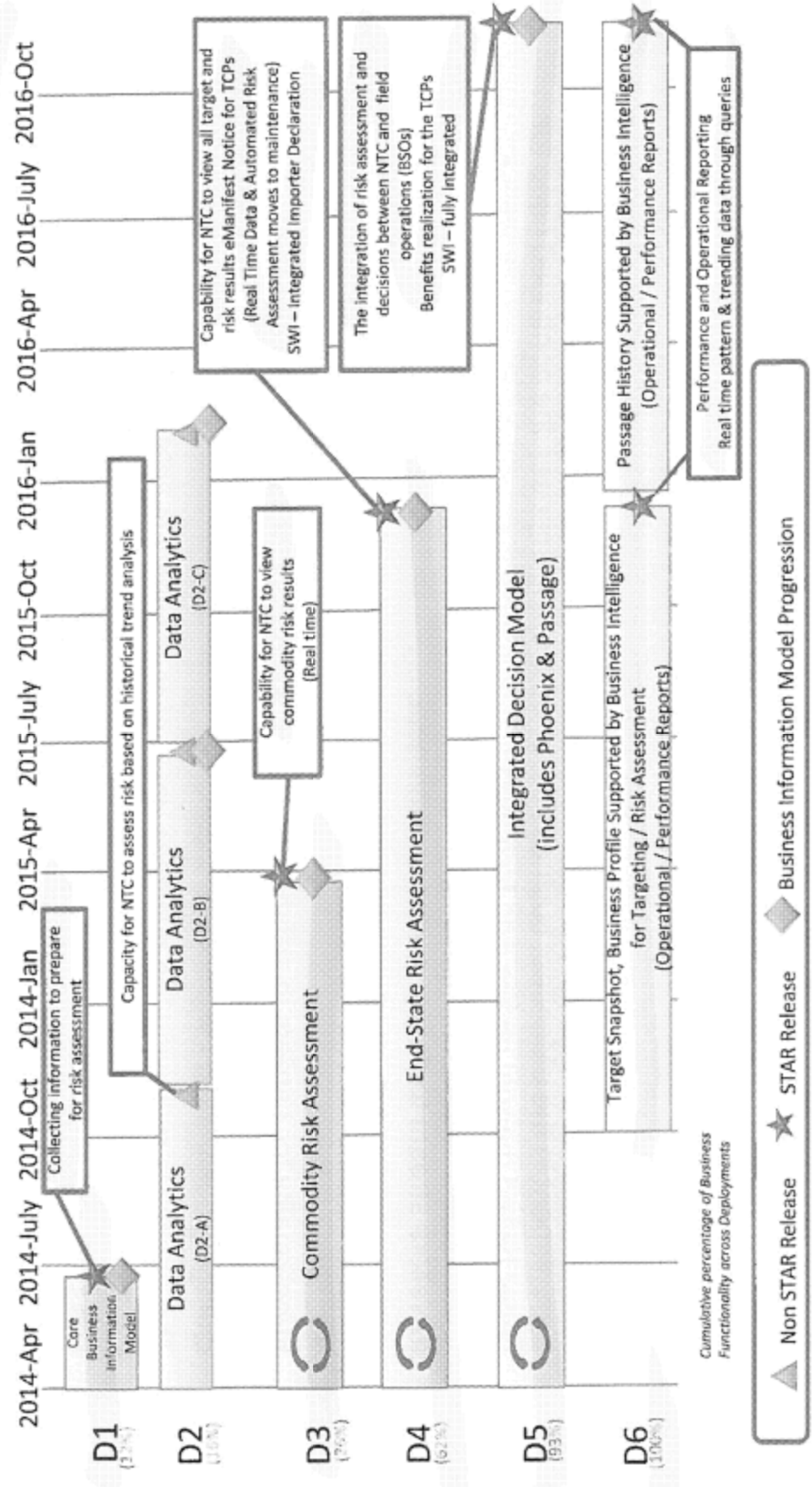


De-scoping impacts

- Crew
 - The ability to collect pre-arrival crew information for risk assessment and targeting was a commitment in the eManifest business case; de-scoping imposes the continued need for paper based manual review and targeting.
 - Delivery mechanisms will be sought through a maintenance release and/or joint initiatives in travellers stream to deliver on the commitment.
- Re-Manifest
 - Functionality for carriers to submit re-manifests electronically through EDI or the Portal. The CBSA requires a re-manifest to track transfers in liability between carriers or when goods are changing destination / warehouse location.
 - The agency is reviewing the business value of re-manifest in light of agency transformational initiatives; stakeholders support this review as it offers business process efficiencies.
 - Possible opportunity in changing requirement through the Cargo Control and Sufferance Warehouse Modernization Initiative



Delivery Approach Designed to Generate Early Benefits





Deployment 1

“Core Information Business Model”

Scope

- Electronic Data Capture
- Laying the foundation to prepare the trade documents to support risk assessment (building entity relationships)
 - Description of the High Risk Commodity identification supported by Language Ware.
 - Address data preparation supported by Quality Stage–Address Verification Interface (QS-AVI)

Business Outcomes

- Validation that the core business design is sound
- Validation that the implemented COTS products provide the expected capability (e.g. ability to resolve an address – supports risk rules that look for commercial shipments destined to residential address, determine what type of commodity is being reported on the manifest)

✓ Implemented in Production – June 2014



Deployment 2

“Data Analytics”

Scope

- Data Analytics capability to assist intelligence officers / targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical trade data

Business Outcomes

-
-
- Modification of existing indicators based on analysis / outcomes and new data feeds
- **Target Production Date:**
 - Deployment 2A: October 2014
 - Deployment 2B: June 2015
 - Deployment 2C: February 2016



Deployment 3

“Commodity Risk Assessment”

Scope

- Start of Automated Risk Assessment
- Introduction of the risk results User Interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules to support Automated Risk Assessment of shipments

Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes;
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs. legacy system
- Validating and improving the Automated Risk Assessment results
- **Target Production Date:** March 2015



Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment (all risk rules are executing and viewable)
- Implementation of initial eManifest new notices for Trade Chain Partners (TCPs)
- Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
- Resolved identities of TCPs using Master Data Management
- Implementation of a risk rules simulation environment

Business Outcomes

- Capability for the NTC to view targets and all risk results (Real Time) in all modes
- Capability to assess the operational impact of implementing new risk rules (using simulation)
- The new notices provide desirable functionality to help improve communication between CBSA and its clients as well as business-to-business communication.
- Validation of the Risk Assessment Model (identification of low and high risk entities)
- Validation that the planned targeting work force can handle the volume

Target Production Date: December 2015



Deployment 5

“Integrated Decision Model”

Scope

- Integrated decisions and referrals (Risk Assessment, Passage and Single Window Initiative)
- Capture of examination results by front line operations
- End-state notices via Electronic Data Interchange and eManifest Portal
- Introduction of Advance Trade Data (ATD) from Importers
- Implementation of end state eManifest trade document submission

Business Outcomes

- Complete integration of risk assessment and passage decisions between NTC and field operations Border Services Officers (BSOs)
- Enhance Program integrity through “closing the loop” on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program – provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application, includes SWI
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Full Benefits Realized for TCPs (Manifest Forward, Streamlined Border Processing)

- **Target Production Date:** December 2016

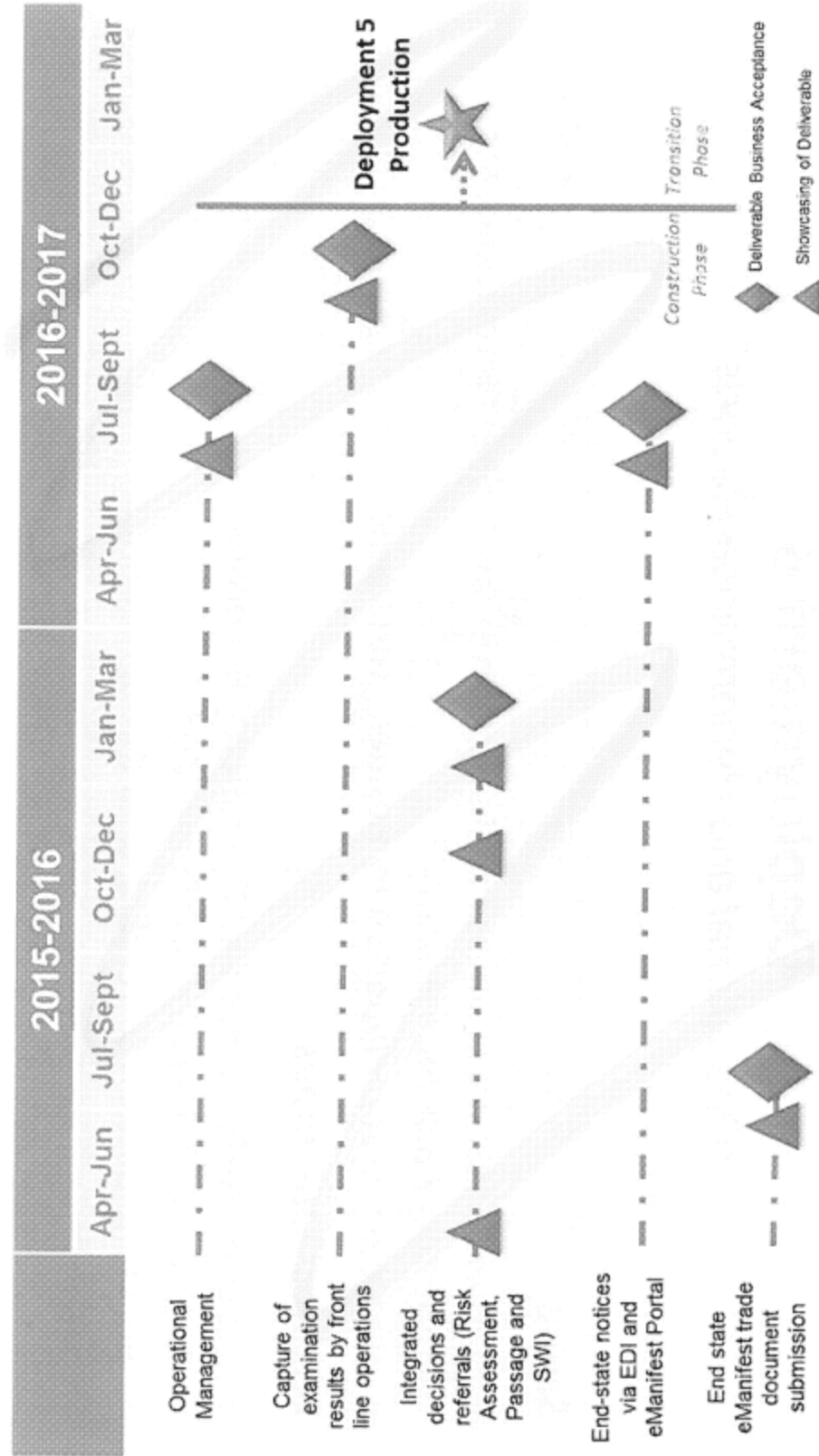


D5 Business Outcome Realization

- D5 rollout is structured around the completion of components such as risk assessment and data acquisition to create efficiencies in delivery of the passage requirements
- D5 is broken down into five deliverables that integrate together to deliver the full benefits realization
- Importer end-state eManifest trade documents will be delivered in D5 to align with the new system and avoid redundant costly work on ACROSS
- As a result, the integrated decision model is dependant on completion of the risk assessment component aligning risk assessment and passage as an integrated system of record



Deployment 5 - Deliverables & Timelines





Deployment 6

“Operational and Performance Reports”

Scope

- Target Snapshot, Business Profile Supported by Business Intelligence for Targeting / Risk Assessment
- Passage History Supported by Business Intelligence

Business Outcomes

- Program Performance and Operational Reporting
- Business Intelligence – Self Serve Model
- Real time pattern & trending data through queries
- **Target Production Date:**
 - Deployment 6A (aligns with D4 production): December 2015
 - Deployment 6B (aligns with D5 Production): December 2016

Gartner eManifest Project Assessment

Executive Summary

Scope of the Assessment

Gartner has been asked to assess the eManifest recovery plan. This limits the analysis and possible recommendations.

Architecture Viability

The Architecture supports the realization of business benefits for eManifest. Non-functional requirements and the ability to meet them have yet to be confirmed.

Management of Risk

Past project delivery issues have been identified and risk mitigation actions developed. Executing those actions will be challenging.

Compressed delivery timelines

Project success will depend on prioritization of eManifest within the Agency. The magnitude of risk and change management is not fully appreciated.

Vendor Management

Procuring and managing complex outcome-based supply arrangements would prove very risky, given CBSA's current level of vendor management maturity. Executing new sourcing approaches may not yield the value being sought within eManifest's timelines.



eManifest Plan Endorsement Considerations

- Detailed planning of option 2 has occurred and resulted in an activity-based schedule with costs and the level of confidence by both third parties and in-house team members being much higher than previous plans
- CBSA will help to further mitigate some of the identified organization-wide project delivery and management risks
- Confirmation of re-baselined plan with TBS will be required

*Requesting approval to proceed with execution of the
Option 2 Project Plan*



Communications

- External Stakeholders
 - External stakeholders will be advised of the new delivery plan with dates
 - A full communications strategy will be developed once the plan is approved
- Internal Stakeholders
 - Present re-baselined plan to CIOB
 - Briefing to TB
- Minister's Office
 - Provide an update on eManifest status and plan, impacts on BtB commitments, external stakeholders and regulatory package
- PCO
 - Continue to update BtB team of eManifest status and impacts on BtB commitments
- Staff and Unions
 - Communication of the HR Strategy with staff and unions will begin once plan has been approved
- SSC
 - They are on the recovery team but will also be formally briefed on the approved plan



HR Strategy

- Project Development Lifecycle will see shifts in resource allocation and skillsets as the Project moves through Development and into Testing & Implementation
- Business and Systems Analysts will begin transitioning to Maintenance & to new project work through this fiscal and into 2015/2016
- Considering various external delivery assistance options for Business Intelligence (D6) along with the work done to date within the Agency.



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eManifest Project Update

Briefing to the Chief Information Officer Branch

May 2015
Commercial Projects Directorate

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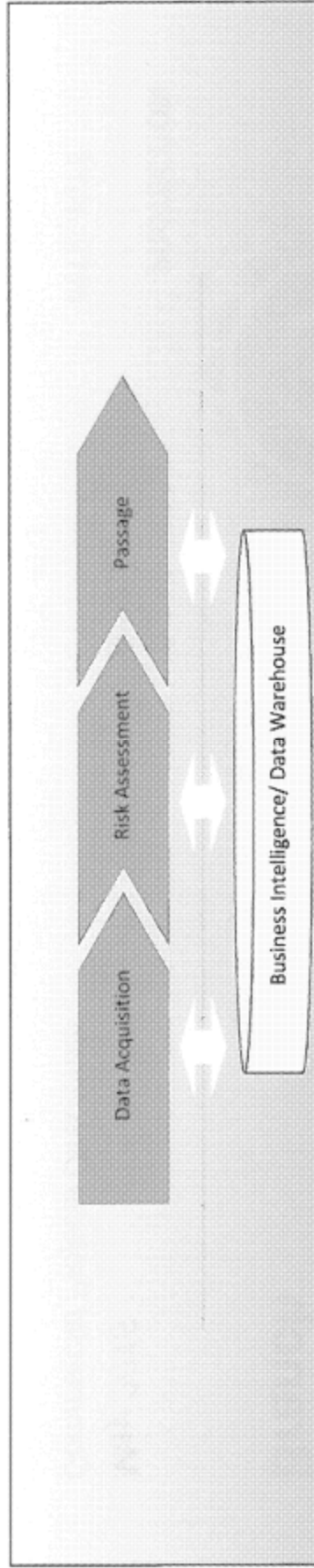


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eManifest at End State



DATA ACQUISITION

Pre-arrival advance information from all Trade Chain Partners for all modes

- Electronic reporting environment (Electronic Data Interchange and eManifest Portal) in which carriers, freight forwarders, brokers and importers will electronically transmit information related to conveyances, cargo and importer admissibility data.
- Portal provides the foundation for future CBSA web applications.



INTEGRATED PRE-ARRIVAL RISK ASSESSMENT

Centralized targeting based on rigorous risk assessment

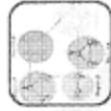
- Automatically screen commercial shipments for indications of risk prior to departure for Canada.
- Identify high or unknown-risk "entities" shipments, conveyances, equipment while facilitating the flow of legitimate low-risk trade.
- Enhanced ability for CBSA to risk assess more effectively and direct resources to shipments, conveyances, equipment posing the highest risk to Canada's health, safety and security.



PASSAGE

Enhanced Passage application for BSOs including GUI technology

- Introduce the use of a graphical User Interface (GUI) for BSOs working at Primary Inspection Line, Front Counter, and Secondary Examinations.
- Provide CBSA officers with a user-friendly interface to the many supporting systems.
- Integrate decision making and examination results capturing processes (closing the loop).



BUSINESS INTELLIGENCE/ DATA WAREHOUSE

Business Intelligence Tools to support continuous improvements to risk assessment to adapt to changing risk environment.

- Strengthens and modernizes CBSA risk assessment systems and processes.
- Expands information analytics, pattern and trend analysis and reporting capabilities to support commercial programs, compliance monitoring and performance measurement.

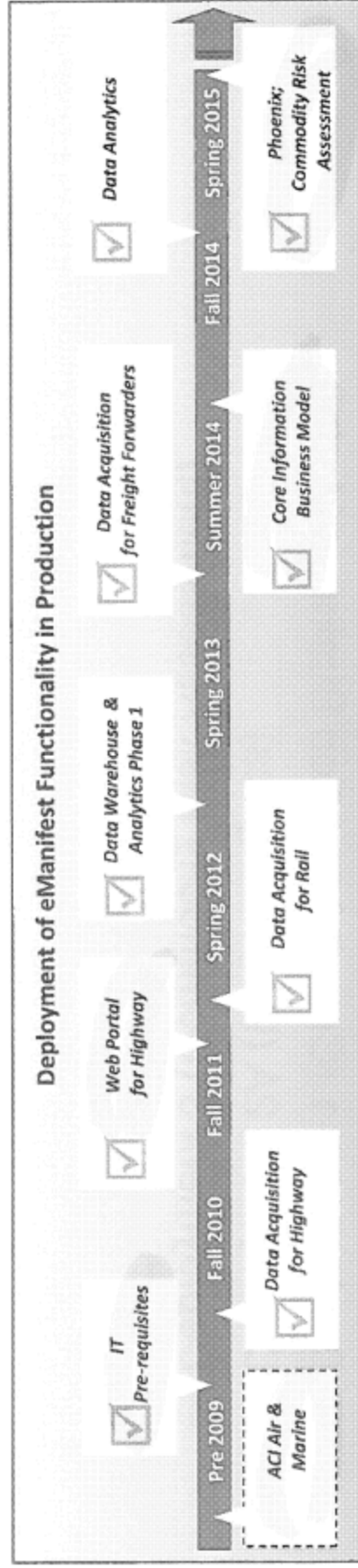


Project Update

- The project has been executing against the re-baselined plan since June 2014.
- To date, the following releases have been delivered on time and on budget.
 - Deployment 1 (Core Information Business Model)
 - Deployment 2A (Data Analytics)
 - Deployment 3 (Commodity Risk Assessment)



eManifest Accomplishments to Date



Systems Deployed:

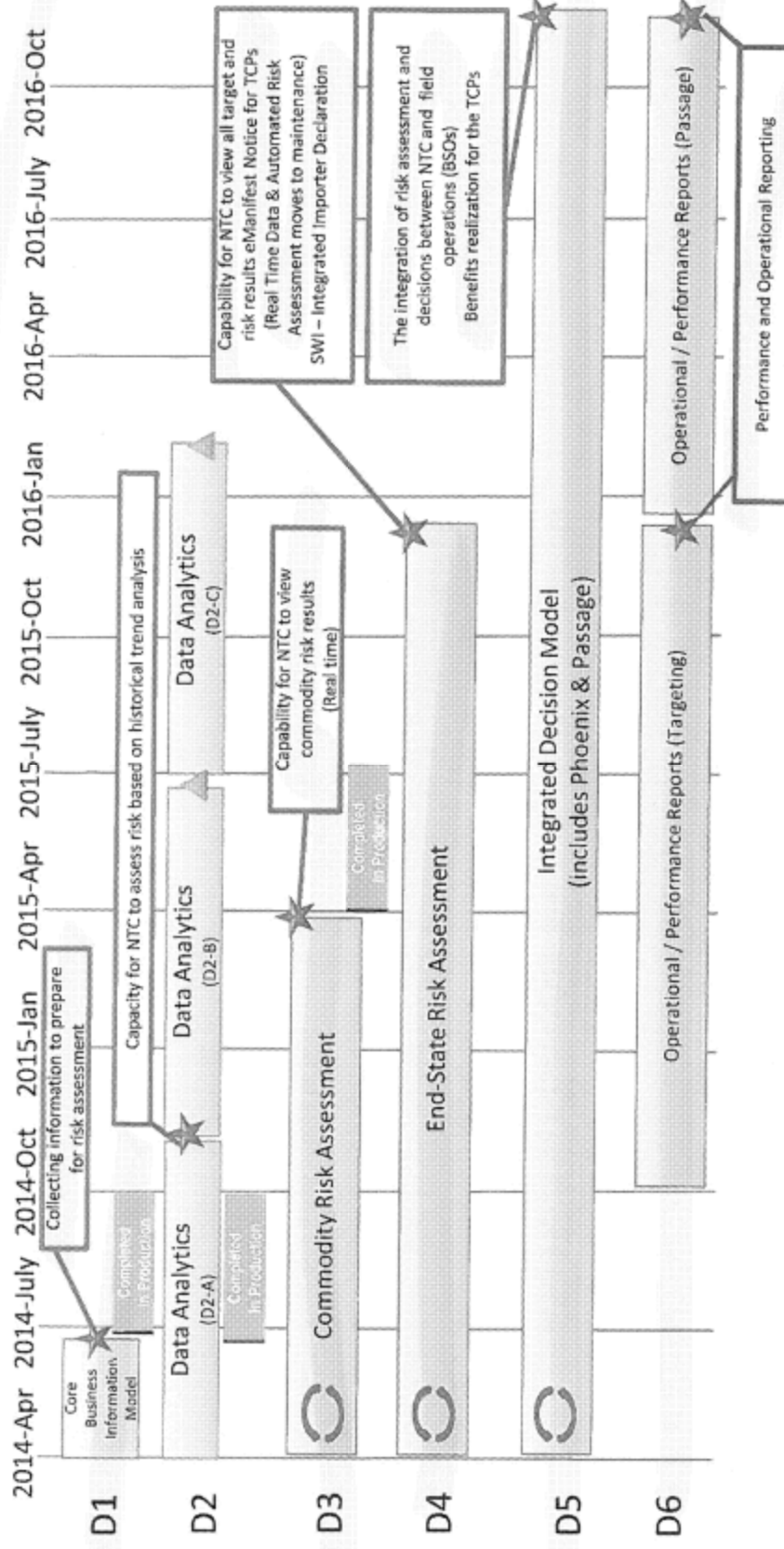
- ✓ Highway Cargo and Conveyance Reporting
- ✓ Rail Reporting
- ✓ eManifest Portal
- ✓ Freight Forwarder Reporting
- ✓ Air and Marine Conveyance Arrivals
- ✓ Manifest Forward
- ✓ Data Warehouse
- ✓ Core Information Business Model
- ✓ Data Analytics
- ✓ Phoenix

Implementation Highlights:

- ✓ More than 8,600 highway carriers engaged with eManifest, representing 96% of all electronic and paper highway volumes
- ✓ 8 of the 11 rail carriers engaged with eManifest
- ✓ More than 300 freight forwarders engaged with eManifest and client uptake continues to increase
- ✓ Multiple rounds of training for BSOs have been delivered and an effective regional support network is in place
- ✓ Webinars, Web content, presentations



Delivery Approach Designed to Generate Early Benefits





Benefits of Deployments

Deployment	CBSA Benefit	Trade Benefit
Deployment 1 (June 2014)	<ul style="list-style-type: none"> Foundation to prepare the trade documents to support risk assessment, facilitates screening & review of information 	<ul style="list-style-type: none"> Trade documents are presented to CBSA users (targeting teams / border service officers) in clear manner; reduces need for Request For Information / Clarification from Trade
Deployment 2 (October 2014)	<ul style="list-style-type: none"> Provide Data Analytics capability to assist intelligence officers / targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical trade data. 	<ul style="list-style-type: none"> Allows more focused targeting by the Agency; avoids false positives that can result in examinations or Requests For Information
Deployment 3 (March 2015)	<ul style="list-style-type: none"> Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes 	<ul style="list-style-type: none"> Allows more focused targeting by the Agency; avoids false positives that can result in examinations or Requests For Information
Deployment 4 (December 2015)	<ul style="list-style-type: none"> Complete Automated Risk Assessment (all risk rules are executing and viewable) New disposition notices to Trade advising of status of shipment Integrate border processes with Single Window Initiative 	<ul style="list-style-type: none"> Improved identity resolution within targeting system (reduces false positives) Implementation of initial eManifest new notices for Trade Chain Partners (TCPs) Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
Deployment 5 (December 2016)	<ul style="list-style-type: none"> Integrated decisions and referrals capability (Risk Assessment, Passage and Single Window Initiative) Complete integration of risk assessment and passage decisions between NTC and field operations Advance Trade Data in all modes supports Targeting Program The eManifest system becomes the new system of record 	<ul style="list-style-type: none"> Introduction of Advance Trade Data (ATD) from Importers Implementation of end state eManifest trade document submission Fully integrated commercial processing system and application New Documents and Notices available to external clients Full Benefits Realized for TCPs (Manifest Forward, Streamlined Border Processing)
Deployment 6 (December 2016)	<ul style="list-style-type: none"> Provide the Agency with the following reporting capabilities: <ul style="list-style-type: none"> Operational and Management Risk Assessment Reporting Operational and Management Reporting for Passage Program Performance and Operational Reporting Increased Decision Support for Programs Ability to generate compliance monitoring reports 	<ul style="list-style-type: none"> Provides Programs with reports to measure effectiveness; strengthen Program Integrity – better understand Service Level impacts on Trade



Stakeholder Engagement

- To ensure successful implementation throughout all deployments, the CBSA conducts outreach activities and maintains open lines of communication with external stakeholders.
- This enables the Agency and stakeholders to identify and address any potential process or technical issues related to implementation.



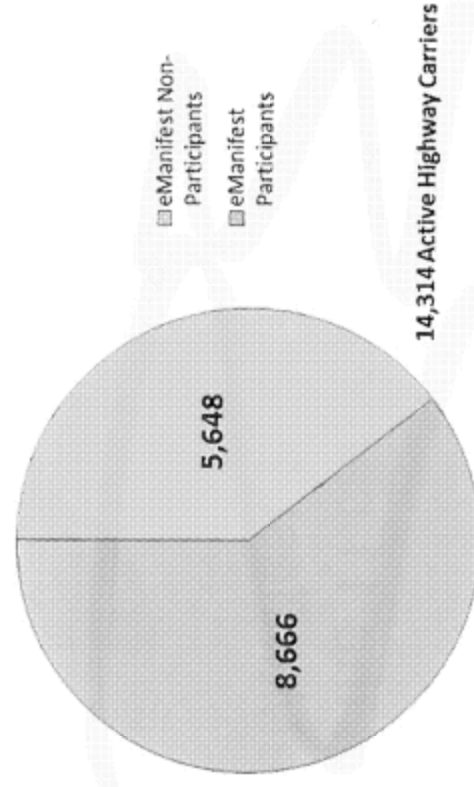
Current and Upcoming Implementation Activities

- Upon announcement of the regulations, the CBSA will launch the regulatory changes in Regulatory Package 1 Parts 1 & 2 that will mandate the requirement for industry stakeholders to submit new documents:
 - Part 1 – Highway/Rail (Cargo and Conveyance Information)
 - Part 2 – Freight Forwarders (Supplementary Information – Electronic Housebill)
- Following the launch of D3 on March 29, 2015 the Agency will continue the conversion of Trade Partners until end state.
- The CBSA will also continue change management and training activities.
- A comprehensive implementation strategy for D5 is being developed.



Client Uptake – Highway Carriers

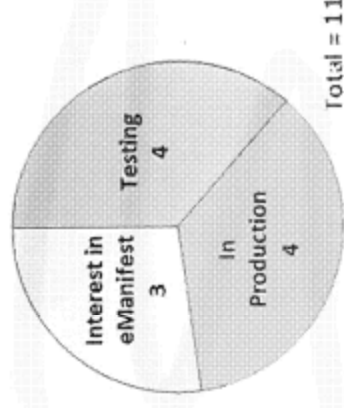
- There are 14,314 active highway carriers through FY 14-15.
- Of the active highway carriers, 8,666 are eManifest ready in production, eManifest in testing and/or active, pending inactive or suspended in the eManifest Portal.
- The 8,666 carriers, represent 96% of all highway volumes, both electronic and paper, currently through FY14-15.





Client Uptake – Rail Carriers

- 11 rail carriers currently represent 100% of all rail volumes, both electronic and paper, through FY14-15.
- As of February 2015, eight of the 11 carriers are in production or are in testing eManifest.

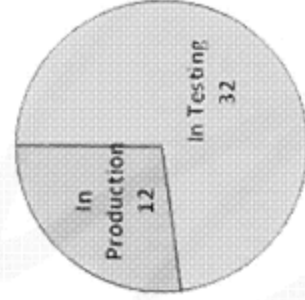




Client Uptake – Freight Forwarders

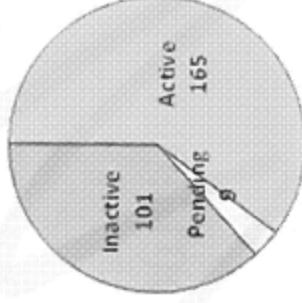
- There are 992 total registered freight forwarder codes as of February 28, 2015.
- 319 freight forwarders are engaged in eManifest and Portal registrations.

EDI Client Registrations
(Jan 2015)



Total = 44

eManifest Portal Client
Registrations (Feb 2015)



Total = 275



Next Steps

- Ongoing support for the implementation of Deployment 2 and 3 at the National Targeting Centre.
- Continue development of all remaining project deployments.
- Ongoing communication and outreach with stakeholders through the Border Commercial Consultative Committees.



Appendix



eManifest DB (P1)

- **Cost**
 - The eManifest project has an approved budget of \$415.1M.
 - Fiscal 2014/15 actuals are reporting \$38.8M with a forecast of \$41.4M for 2015/16 and \$39.9M for fiscal 2016/17.
- **Schedule**
 - The project will be formally presenting to TIPP a request for change related to the Deployment 4 (D4) production dates on May 6, 2015. D4 will be delivered in two releases.
- **Scope**
 - To date we have 43 approved request for change with an estimated 2599 effort days and an estimated cost of \$1.574M.
 - During P1, we have approved one RFC that has added an estimate 44.3 effort days to Deployment 5 (D5) and an estimated cost increase of \$26K.



eManifest DB (P1) cont.

- Issue
 - The project is currently tracking 3 open issues;
- 1. (IL-118) Roll-out for SPSS software upgrade to V16 has encountered delays.
 - Resolution Plan: Options analysis underway. Escalated to management for direction and resolution.
- 2. (IL-117) The SWI maintenance release will create resource contention for D4 as the ACROSS team will be dedicated to the maintenance release and production support.
 - Resolution Plan: Resource levelling exercise is on-going to assess gaps in resourcing to minimize impact.
- 3. (IL-112) There is resource contention between D4 and D5 projects.
 - Resolution Plan: Use staff augmenting supply arrangements to fill resource gap where necessary.



eManifest P1 Dashboard

Executive Project Dashboard									
Organization: Canada Border Services Agency			Project Phase: Execution			Level 4 - Transformational			
Project: eManifest			Report as of: 2015-Apr-30			Next Project Gate: 6 - Construction Complete and Deployment Readiness			
Executive Summary			Project Sponsor: Maurice Chénier, Richard Wex			Project Health			
Current Period: Deployment 4 (D4) project plan has been baselined			Forecast: Project will formally present the request for change related to D4 production dates in May, 2015 for governance approval. D4 will be delivered in two iterations.			Y			
Overall Status: The project overall health is yellow. Remaining risks and issues are being mitigated			Project Cost: Approved Budget: \$415.1 million			Cost			
			Actual/Forecast Cost: \$415.1 million			Schedule			
						Scope			
						Risk			
						Issues			
Business Outcomes			Project Launch Date: 2008-Oct-05			Variance (months)			
• Enhance CBSA capacity to provide a pre-arrival risk determination prior to the arrival of goods in Canada						Forecast Completion Date			
• Provide CBSA with the ability to conduct more effective enforcement activities						2017-Mar-31			
• Enable CBSA, PGAs & TCPs to evolve toward an automated eCommerce importation process in line with international standards						2017-Mar-31			
Financial Summary (six quarters)									



Deployment 1

“Core Information Business Model”

Scope

- Electronic Data Capture
- Laying the foundation to prepare the trade documents to support risk assessment (building entity relationships)
 - Description of the High Risk Commodity identification supported by Language Ware.
 - Address data preparation supported by Quality Stage–Address Verification Interface (QS-AVI)

Business Outcomes

- Validation that the core business design is sound
- Validation that the implemented COTS products provide the expected capability (e.g. ability to resolve an address – supports risk rules that look for commercial shipments destined to residential address, determine what type of commodity is being reported on the manifest)

✓ Implemented in Production – June 2014



Deployment 2

"Data Analytics"

Scope

- Data Analytics capability to assist intelligence officers / targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical trade data

Business Outcomes

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- Modification of existing indicators based on analysis / outcomes and new data feeds

Target Production Date:

- ✓ Deployment 2A: Implemented in Production - October 2014
- Deployment 2B: June 2015
- Deployment 2C: February 2016



Deployment 3

“Commodity Risk Assessment”

Scope

- Start of Automated Risk Assessment
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Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes;
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- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs. legacy system
- Validating and improving the Automated Risk Assessment results

Target Production Date:

- ✓ March 29, 2015



Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment (all risk rules are executing and viewable)
- Implementation of initial eManifest new notices for Trade Chain Partners (TCPs)
- Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
- Resolved identities of TCPs using Master Data Management
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Business Outcomes

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- Validation that the planned targeting work force can handle the volume

Target Production Date: December 2015



Deployment 5

“Integrated Decision Model”

Scope

- Integrated decisions and referrals (Risk Assessment, Passage and Single Window Initiative)
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Business Outcomes

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- Enhance Program integrity through “closing the loop” on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program – provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application, includes SWI
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Full Benefits Realized for TCPs (Manifest Forward, Streamlined Border Processing)

Target Production Date: December 2016



Deployment 6

“Operational and Performance Reports”

Scope

- Risk Assessment: Operational and Management Reports
- Passage: Operational and Management Reports

Business Outcomes

- Program Performance and Operational Reporting
- Increased Decision Support for Programs

Target Production Date:

- Deployment 6A (aligns with D4 production): December 2015
- Deployment 6B (aligns with D5 Production): December 2016



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eManifest Project Update

External Audit Committee Briefing

April 2015
Commercial Projects Directorate

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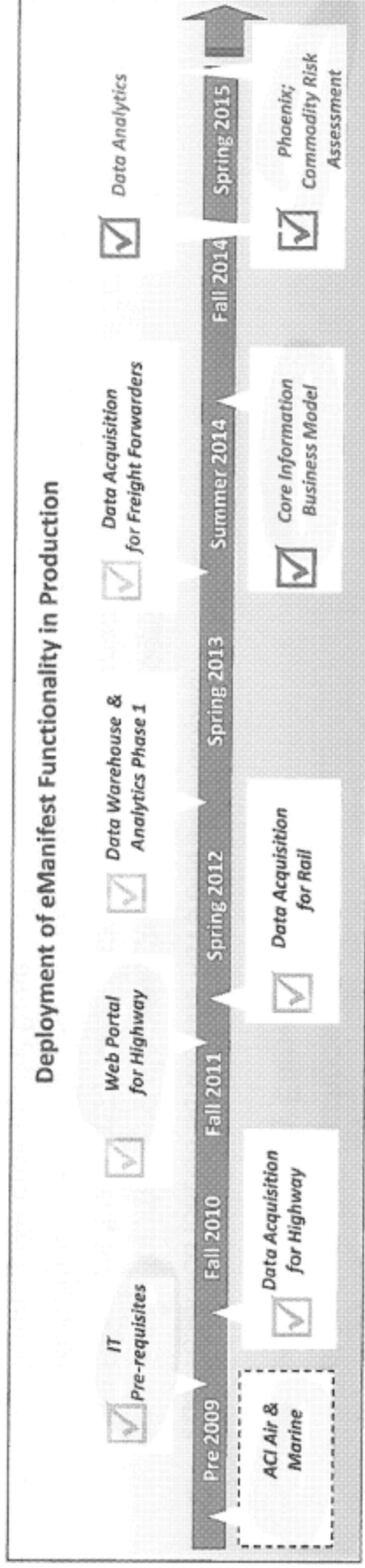
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Presentation Overview

- Executive summary of recent project management activities since the External Audit Committee briefing in September 2014:
 - Project Governance and Reporting,
 - Financial Reporting and Tracking.
- Project Accomplishments
- Legislation and External Outreach Update
- Overview of the Project Deployment 2A (Data Analytics) implemented in October 2014.
- Overview of the Project Deployment 3 (Commodity Risk Assessment) implemented in March 2015.

eManifest Accomplishments to Date



Systems Deployed:

- ✓ Highway Cargo and Conveyance Reporting
- ✓ Rail Reporting
- ✓ eManifest Portal
- ✓ Freight Forwarder Reporting
- ✓ Air and Marine Conveyance Arrivals
- ✓ Manifest Forward
- ✓ Data Warehouse
- ✓ Core Information Business Model
- ✓ Data Analytics
- ✓ Phoenix

Implementation Highlights:

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- ✓ Multiple rounds of training for BSOs have been delivered and an effective regional support network is in place
- ✓ Webinars, Web content, presentations



Project Management Update

- eManifest has implemented the recommended Gartner governance structure:
 - Decision making is streamlined and better aligned with appropriate levels and
 - Project Authority and TIPP govern high likelihood risks
 - Project Authority decides majority of governance related issues
 - Significantly enhances project efficiency
 - A Change Management Process has been fully established.
- eManifest has implemented more rigorous reporting:
 - eManifest TBS Dashboard and
 - eManifest Monthly Earned Value Report.
- Fully resource loaded schedules have been developed:
 - Allows for improved clarity on percentage of work complete;
 - Supports financial tracking, tasks authorization management, earned value based status reporting; and
 - Informs the project cost base.

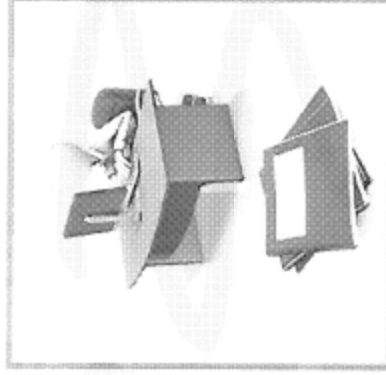


Managing Performance to Stay on Track

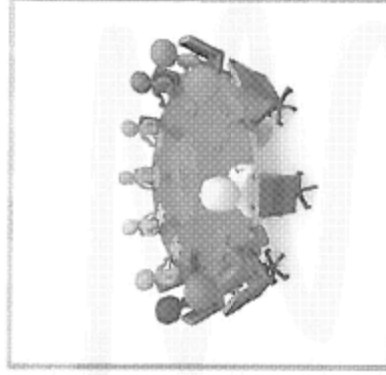
Project Support & Control
Office (PSCO)



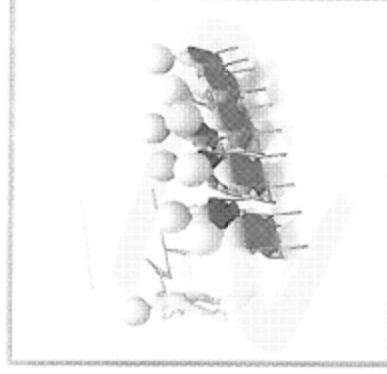
Project Support & Control
Office (PSCO)



PSCO & eManifest Project
Managers/Executives



Enterprise Project
Management Office



Schedule &

Financial Monitoring

- Weekly Schedule Monitoring
- Cross-reference Schedule to Enterprise time tracking
- Professional/ Procurement costs

Performance Data

Consolidation

- Aggregation of financial and progress reports
- Project Dashboard updates
- Feeds schedule & financial dashboard risk ratings

Oversight & Governance

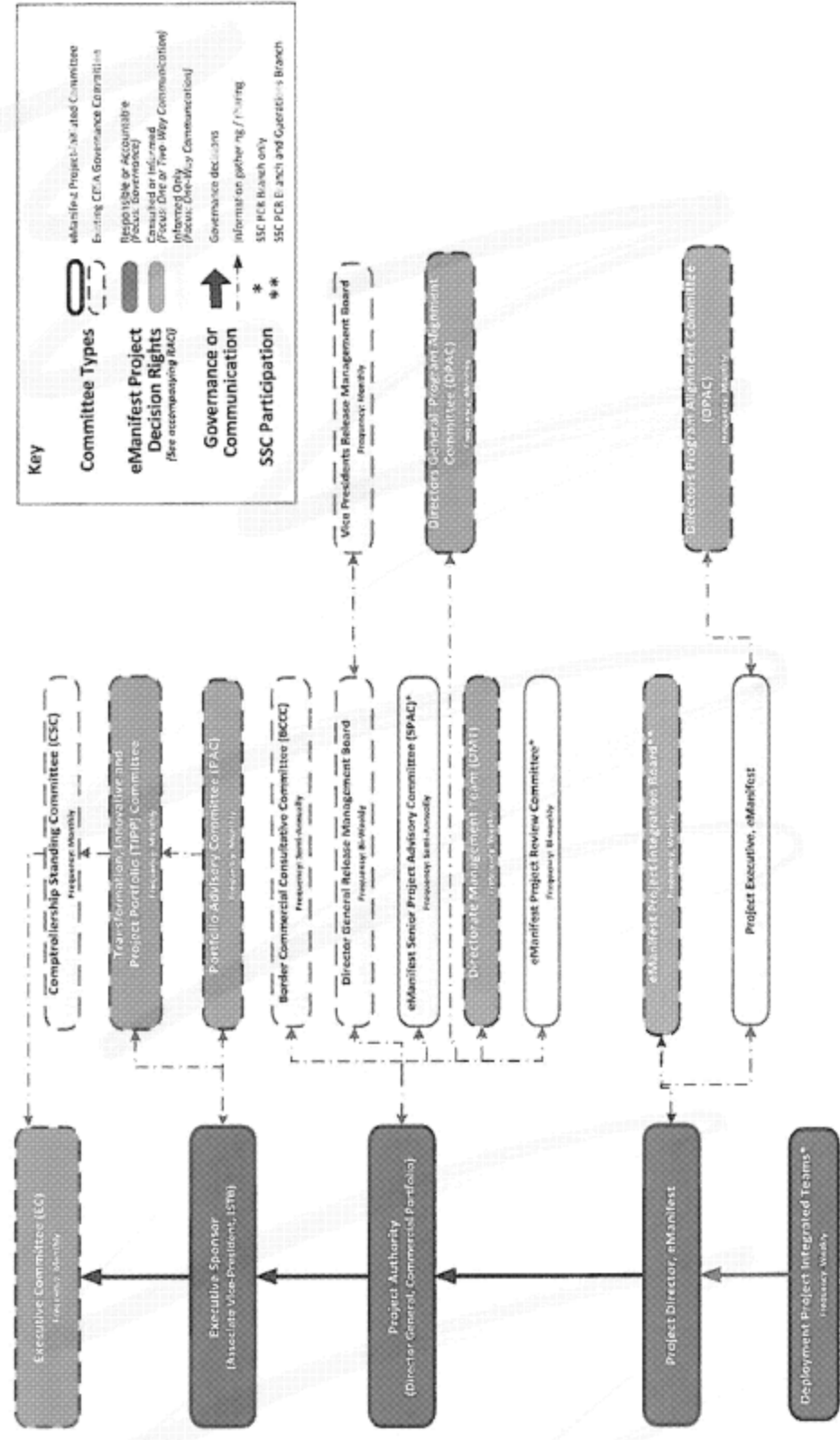
- Project Integration Board
- Weekly Leadership meetings with AVP
- Bi- Weekly DG Health Check
- Project Advisory Committee
- Transformation, Innovation and Project Portfolio Committee
- Senior Project Advisory Committee

Enterprise Oversight

- Dashboard reporting
- Monitoring & Control
- Agency level risk management and portfolio performance management

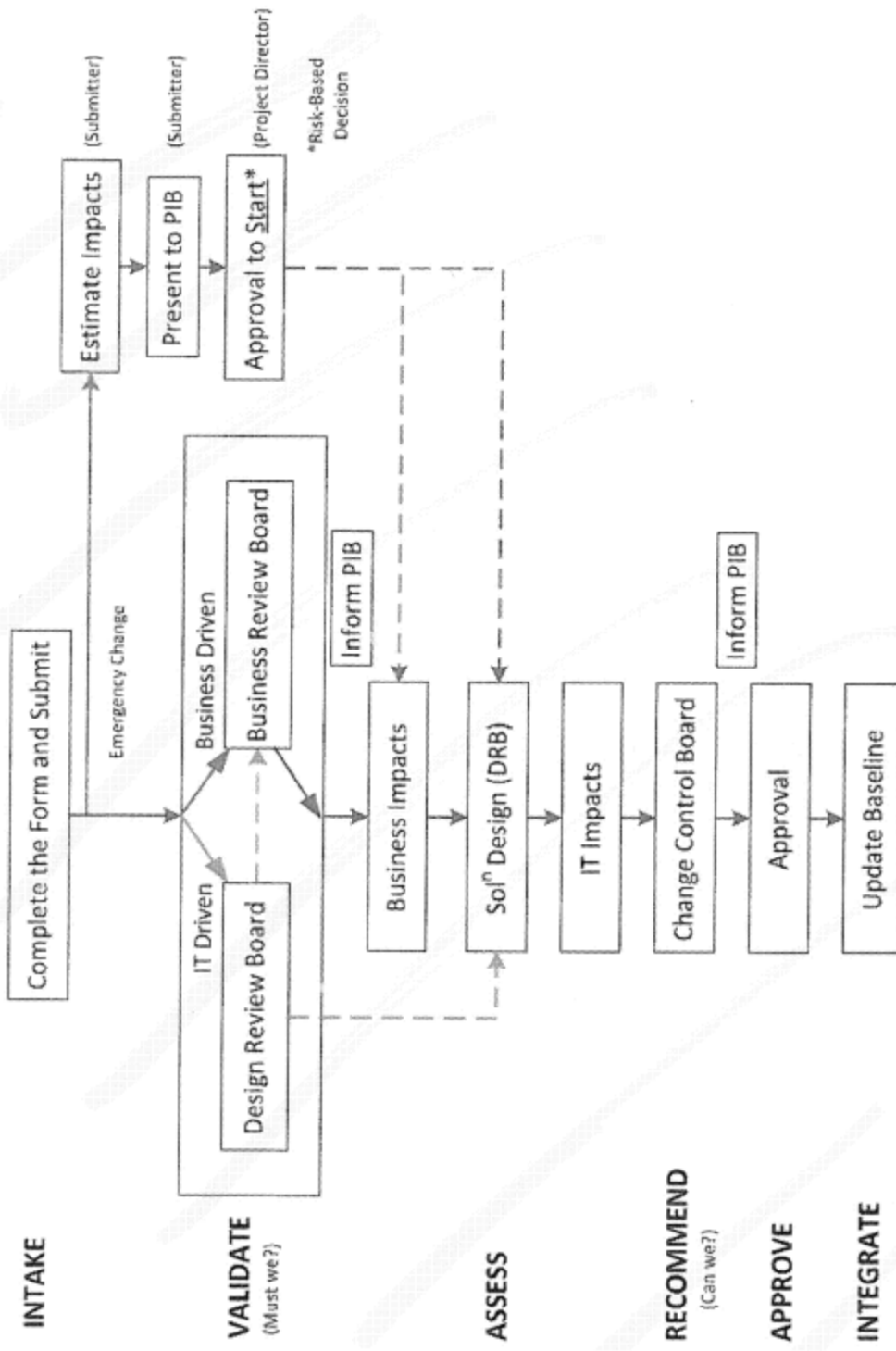


eManifest Governance





eManifest Change Management Process





eManifest Reporting

- Project team has scheduled monthly meetings with the Enterprise Project Management Office (EPMO) to review the dashboard to ensure compliance with TBS reporting requirements and/or Agency corporate standards.
- eManifest has updated the reported dashboard financials to align with corporate reporting requirements.

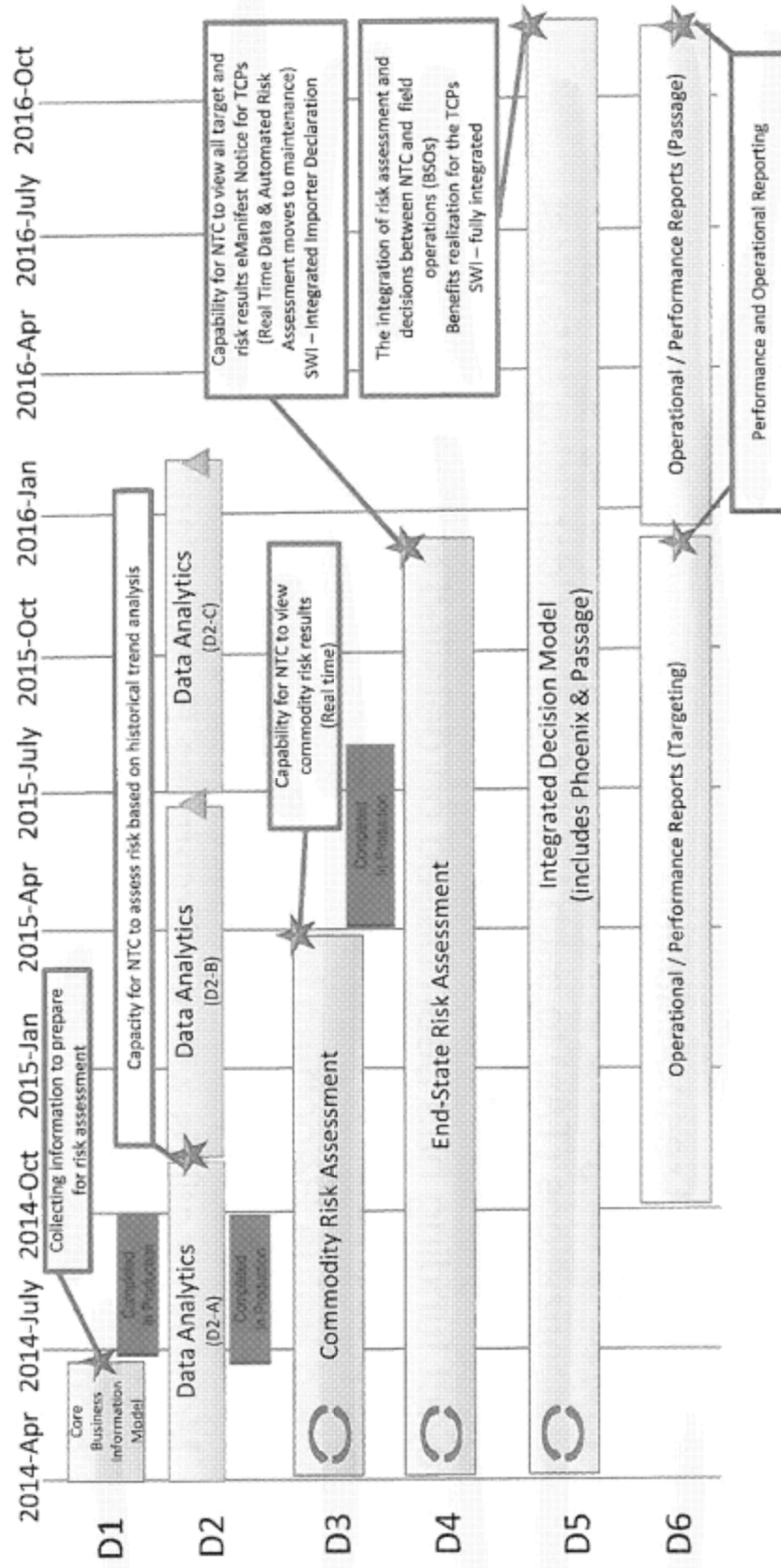


Financial Reporting & Tracking

- Improved fiscal responsibility:
 - Project funding have been centralized and is managed through Task Authorizations (TAs) to each funded stakeholder using eManifest Deployment schedules as the main driver.
- Project funding has been based on detailed resource loaded schedules (resources attributable by name).
- Earned Value Reporting has been implemented and is reported on a monthly basis:
 - Monthly meetings with the Enterprise Project Management Office (EPMO) are scheduled to ensure compliance with corporate reporting requirements.
 - Monthly challenge sessions are held with the Executive Sponsor, Project Authority and Project Director.



Delivery Approach Designed to Generate Early Benefits





Baselined Plan Costing

Development Costs	2014/15				2015/16				2016/17				Total			
	FTE	Consultant	Other O&M	TOTAL	FTE	Consultant	Other O&M	TOTAL	FTE	Consultant	Other O&M	TOTAL	FTE	Consultant	Other O&M	TOTAL
D1 - Core Business Information Model	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D2 - Data Analytics	\$1,031,973	\$9,152,288	\$4,739,637	\$2,426,908	\$1,031,973	\$9,152,288	\$4,739,637	\$2,426,908	\$1,031,973	\$9,152,288	\$4,739,637	\$2,426,908	\$1,031,973	\$9,152,288	\$4,739,637	\$2,426,908
D3 - Community Risk Assessment	\$3,315,984	\$4,312,805	\$3,140,127	\$10,388,915	\$3,315,984	\$4,312,805	\$3,140,127	\$10,388,915	\$3,315,984	\$4,312,805	\$3,140,127	\$10,388,915	\$3,315,984	\$4,312,805	\$3,140,127	\$10,388,915
D4 - End State Risk Assessment	\$5,677,153	\$5,631,690	\$2,933,383	\$14,642,226	\$5,677,153	\$5,631,690	\$2,933,383	\$14,642,226	\$5,677,153	\$5,631,690	\$2,933,383	\$14,642,226	\$5,677,153	\$5,631,690	\$2,933,383	\$14,642,226
D5 - Integrated Decision Model	\$4,537,136	\$2,216,986	\$3,038,623	\$7,062,746	\$4,537,136	\$2,216,986	\$3,038,623	\$7,062,746	\$4,537,136	\$2,216,986	\$3,038,623	\$7,062,746	\$4,537,136	\$2,216,986	\$3,038,623	\$7,062,746
D6 - Reports	\$742,753	\$1,743,424	\$958,482	\$3,444,659	\$742,753	\$1,743,424	\$958,482	\$3,444,659	\$742,753	\$1,743,424	\$958,482	\$3,444,659	\$742,753	\$1,743,424	\$958,482	\$3,444,659
Prep, Security, Privacy & Service Agreements	\$544,973	\$918,921	\$1,024,410	\$3,508,284	\$544,973	\$918,921	\$1,024,410	\$3,508,284	\$544,973	\$918,921	\$1,024,410	\$3,508,284	\$544,973	\$918,921	\$1,024,410	\$3,508,284
Integration	\$632,855	\$2,252,293	\$1,712,227	\$3,059,375	\$632,855	\$2,252,293	\$1,712,227	\$3,059,375	\$632,855	\$2,252,293	\$1,712,227	\$3,059,375	\$632,855	\$2,252,293	\$1,712,227	\$3,059,375
Bridging Tax Q1 FY 14/15	\$4,210,591	\$4,229,076	\$0	\$8,439,667	\$4,210,591	\$4,229,076	\$0	\$8,439,667	\$4,210,591	\$4,229,076	\$0	\$8,439,667	\$4,210,591	\$4,229,076	\$0	\$8,439,667
Management & Support	\$1,571,302	\$924,000	\$2,331,838	\$2,729,141	\$1,571,302	\$924,000	\$2,331,838	\$2,729,141	\$1,571,302	\$924,000	\$2,331,838	\$2,729,141	\$1,571,302	\$924,000	\$2,331,838	\$2,729,141
Development SubTOTAL	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866
LBP (20% of FTE \$)	\$4,416,944	\$0	\$0	\$4,416,944	\$4,416,944	\$0	\$0	\$4,416,944	\$4,416,944	\$0	\$0	\$4,416,944	\$4,416,944	\$0	\$0	\$4,416,944
eManifest Development TOTAL	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866	\$22,084,719	\$23,545,474	\$12,748,672	\$58,378,866

Maintenance Costs	2014/15				2015/16				2016/17				Total			
	FTE	Consultant	Other O&M	TOTAL	FTE	Consultant	Other O&M	TOTAL	FTE	Consultant	Other O&M	TOTAL	FTE	Consultant	Other O&M	TOTAL
2013/14 costs	\$0	\$0	\$14,651,916	\$14,651,916	\$0	\$0	\$14,651,916	\$14,651,916	\$0	\$0	\$14,651,916	\$14,651,916	\$0	\$0	\$14,651,916	\$14,651,916
Address Verification	\$0	\$0	\$1,854,000	\$1,854,000	\$0	\$0	\$1,854,000	\$1,854,000	\$0	\$0	\$1,854,000	\$1,854,000	\$0	\$0	\$1,854,000	\$1,854,000
Programs Branch	\$3,521,742	\$0	\$0	\$3,521,742	\$3,521,742	\$0	\$0	\$3,521,742	\$3,521,742	\$0	\$0	\$3,521,742	\$3,521,742	\$0	\$0	\$3,521,742
Operations Branch	\$3,044,842	\$0	\$16,000	\$3,060,842	\$3,044,842	\$0	\$16,000	\$3,060,842	\$3,044,842	\$0	\$16,000	\$3,060,842	\$3,044,842	\$0	\$16,000	\$3,060,842
Corporate Overhead	\$1,388,129	\$0	\$2,281,726	\$3,669,855	\$1,388,129	\$0	\$2,281,726	\$3,669,855	\$1,388,129	\$0	\$2,281,726	\$3,669,855	\$1,388,129	\$0	\$2,281,726	\$3,669,855
Major Projects Activities	\$2,340,928	\$99,000	\$384,500	\$2,824,428	\$2,340,928	\$99,000	\$384,500	\$2,824,428	\$2,340,928	\$99,000	\$384,500	\$2,824,428	\$2,340,928	\$99,000	\$384,500	\$2,824,428
BASD Activities	\$1,214,856	\$523,700	\$0	\$1,738,556	\$1,214,856	\$523,700	\$0	\$1,738,556	\$1,214,856	\$523,700	\$0	\$1,738,556	\$1,214,856	\$523,700	\$0	\$1,738,556
ESD Activities	\$3,913,771	\$2,118,798	\$10,251,005	\$16,283,575	\$3,913,771	\$2,118,798	\$10,251,005	\$16,283,575	\$3,913,771	\$2,118,798	\$10,251,005	\$16,283,575	\$3,913,771	\$2,118,798	\$10,251,005	\$16,283,575
Science & Engineering Activities	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
O&M costs	\$0	\$0	\$444,329	\$444,329	\$0	\$0	\$444,329	\$444,329	\$0	\$0	\$444,329	\$444,329	\$0	\$0	\$444,329	\$444,329
Increased Maintenance for Deployments	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
S&C Costing	\$0	\$2,275,390	\$2,079,720	\$4,355,110	\$0	\$2,275,390	\$2,079,720	\$4,355,110	\$0	\$2,275,390	\$2,079,720	\$4,355,110	\$0	\$2,275,390	\$2,079,720	\$4,355,110
eManifest Maintenance TOTAL	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552
LBP (20% of FTE \$)	\$3,044,842	\$0	\$0	\$3,044,842	\$3,044,842	\$0	\$0	\$3,044,842	\$3,044,842	\$0	\$0	\$3,044,842	\$3,044,842	\$0	\$0	\$3,044,842
eManifest Maintenance TOTAL	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552	\$15,224,467	\$5,416,889	\$31,963,196	\$52,604,552
TOTAL eManifest	\$37,309,187	\$28,962,363	\$47,519,095	\$113,790,645	\$37,309,187	\$28,962,363	\$47,519,095	\$113,790,645	\$37,309,187	\$28,962,363	\$47,519,095	\$113,790,645	\$37,309,187	\$28,962,363	\$47,519,095	\$113,790,645

Development Accommodations (13% of FTE \$)**	\$6,254,390	\$0	\$0	\$6,254,390	\$6,254,390	\$0	\$0	\$6,254,390	\$6,254,390	\$0	\$0	\$6,254,390	\$6,254,390	\$0	\$0	\$6,254,390
Maintenance Accommodations (13% of FTE \$)**	\$6,803,851	\$0	\$0	\$6,803,851	\$6,803,851	\$0	\$0	\$6,803,851	\$6,803,851	\$0	\$0	\$6,803,851	\$6,803,851	\$0	\$0	\$6,803,851

Project's Cost Base (version 40)

PROTECTION • SERVICE • INTEGRITY



Budget per Deployment

as of March 31, 2015 using Approved Project Cost Base (Version 40)

Deployment (Sub-Deployments)	Budget	Completed on Time and on Budget
Deployment 1	\$10.3M	✓
<u>Sub-Total (Prior to FY2014-15)</u>	<u>\$10.3M</u>	
Deployment 2 (2A)	\$1.1M	✓
Deployment 2 (2B & 2C)	\$3.4M	Ongoing
Deployment 3	\$21.8M	✓
Deployment 4	\$34.9M	Ongoing
Deployment 5	\$42.4M	Ongoing
Deployment 6 (6A & 6B)	\$16.3M	Ongoing
<u>Sub-Total (FY2014-15 onwards)</u>	<u>\$119.9M</u>	
<u>Total for All Deployments</u>	<u>\$130.2M</u>	



eManifest Regulations Update

- eManifest regulatory package 1 includes advance commercial information requirements for carriers in the highway and rail modes, mandatory electronic warehouse arrivals, requirements for freight forwarders in all modes and bay plan requirements in the marine mode.
-
-



Stakeholder Engagement

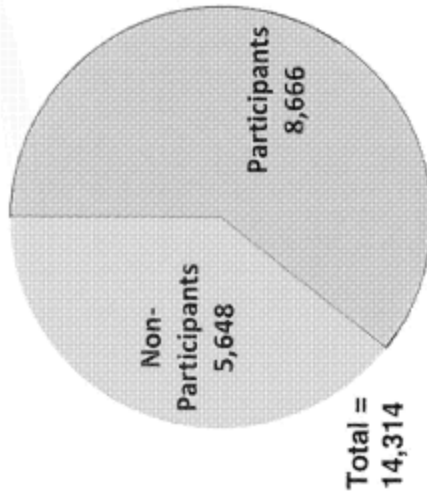
- To ensure successful implementation throughout all deployments, the CBSA conducts outreach activities and maintains open lines of communication with external stakeholders.
- This enables the Agency and stakeholders to identify and address any potential process or technical issues related to implementation.



Client Uptake

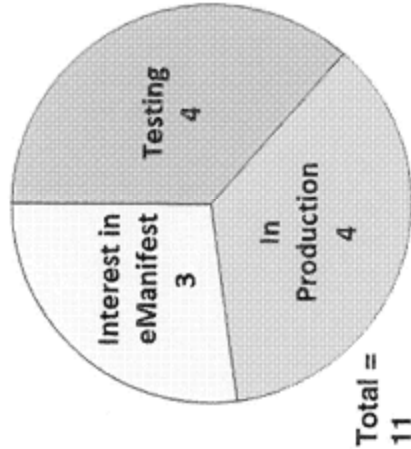
Highway Carriers

- There are 14,314 active highway carriers through FY 14-15.
- Of the active highway carriers, 8,666 are EDI in production, EDI in testing and/or active, pending inactive or suspended in the eManifest Portal.
- The 8,666 carriers, represent 96% of all highway volumes, both electronic and paper, currently through FY14-15.



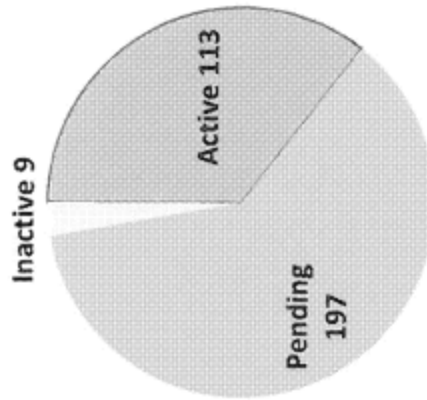
Rail Carriers

- 11 rail carriers currently represent 100% of all rail volumes, both electronic and paper, through FY14-15.
- As of February 2015, eight of the 11 carriers are in production or are in testing eManifest.



Freight Forwarders

- There are 992 total registered freight forwarder codes as of February 28, 2015.
- 319 freight forwarders are engaged in EDI or eManifest Portal registrations.



NB: Pending means in testing or an access request has been made..



Appendix



Deployment 2

"Data Analytics"

Scope

- Data Analytics capability to assist intelligence officers / targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical trade data

Business Outcomes

-
-
- Modification of existing indicators based on analysis / outcomes and new data feeds

Target Production Date:

- ✓ Deployment 2A: Implemented in Production - October 2014
- Deployment 2B: June 2015
- Deployment 2C: February 2016



Deployment 3

“Commodity Risk Assessment”

Scope

- Start of Automated Risk Assessment
- Introduction of the risk results User Interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules to support Automated Risk Assessment of shipments

Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes;
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs. legacy system
- Validating and improving the Automated Risk Assessment results

Target Production Date:

- ✓ March, 2015



Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment (all risk rules are executing and viewable)
- Implementation of initial eManifest new notices for Trade Chain Partners (TCPs)
- Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
- Resolved identities of TCPs using Master Data Management
- Implementation of a risk rules simulation environment

Business Outcomes

- Capability for the NTC to view targets and all risk results (Real Time) in all modes
- Capability to assess the operational impact of implementing new risk rules (using simulation)
- The new notices provide desirable functionality to help improve communication between CBSA and its clients as well as business-to-business communication.
- Validation of the Risk Assessment Model (identification of low and high risk entities)
- Validation that the planned targeting work force can handle the volume

Target Production Date: December 2015



Deployment 5

“Integrated Decision Model”

Scope

- Integrated decisions and referrals (Risk Assessment, Passage and Single Window Initiative)
- Capture of examination results by front line operations
- End-state notices via Electronic Data Interchange and eManifest Portal
- Introduction of Advance Trade Data (ATD) from Importers
- Implementation of end state eManifest trade document submission

Business Outcomes

- Complete integration of risk assessment and passage decisions between NTC and field operations Border Services Officers (BSOs)
- Enhance Program integrity through “closing the loop” on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program – provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application, includes SWI
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Full Benefits Realized for TCPs (Manifest Forward, Streamlined Border Processing)

Target Production Date: December 2016



Deployment 6

“Operational and Performance Reports”

Scope

- Risk Assessment: Operational and Management Reports
- Passage: Operational and Management Reports

Business Outcomes

- Program Performance and Operational Reporting
- Increased Decision Support for Programs

Target Production Date:

- Deployment 6A (aligns with D4 production): December 2015
- Deployment 6B (aligns with D5 Production): December 2016



Canada Border
Services Agency Agence des services
frontaliers du Canada



eManifest Project Update

External Audit Committee Briefing

December 2015
Commercial Projects Directorate, ISTB

PROTECTION

SERVICE

INTEGRITY



PROTECTION

SERVICE

INTÉGRITÉ

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Canada

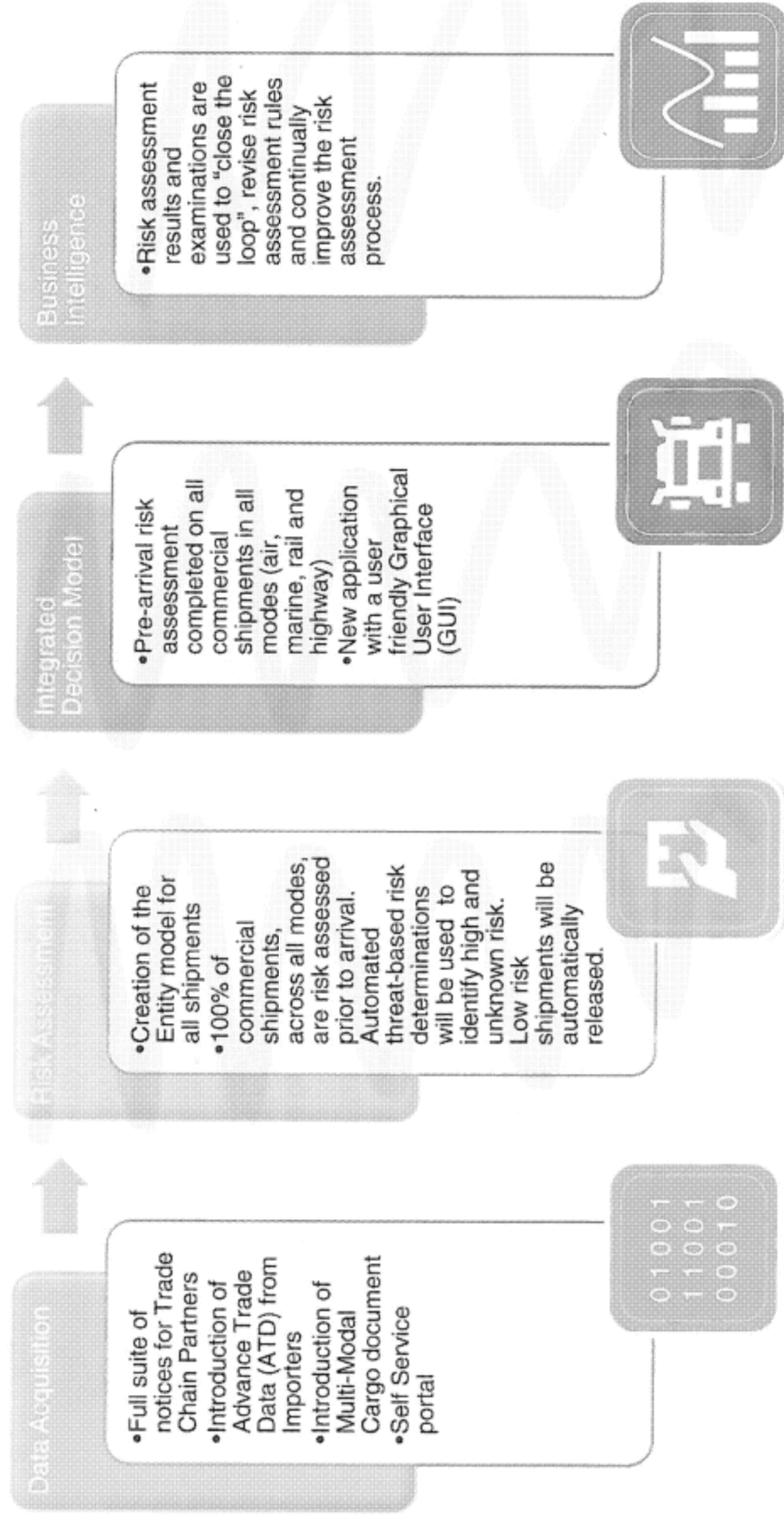


Presentation Overview

- eManifest End State Overview
- eManifest Benefits
- Project Update & Upcoming Activities
 - Deployment 2B (Data Analytics)
 - Deployment 4A (Notices)
 - Deployment 4B (Risk Assessment Program Maintenance)
- Implementation Strategy
- eManifest Regulations Update
- Baselined Costing



eManifest End State functionality in December 2016





eManifest Benefits

For Trade

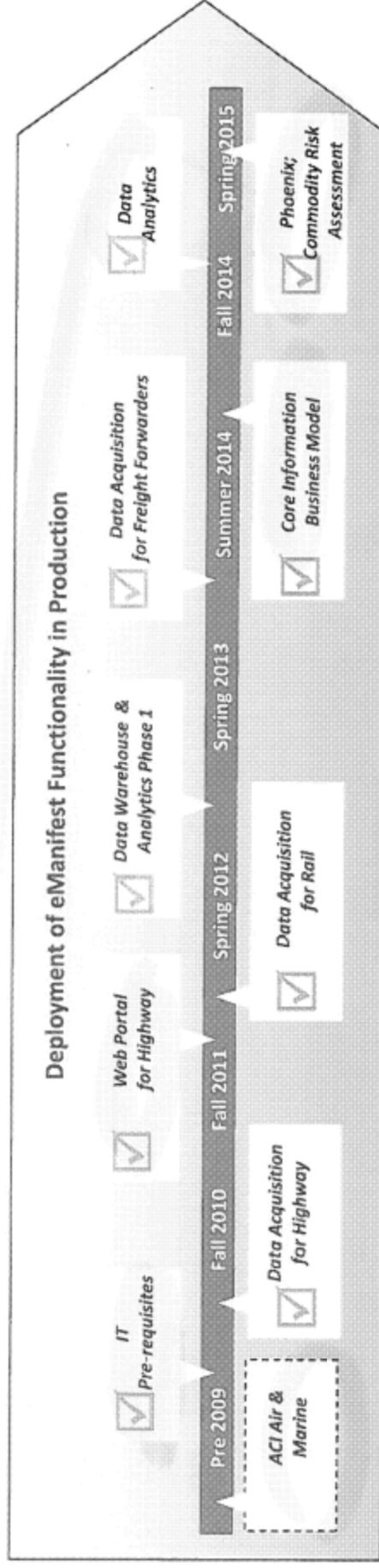
1. All Trade Chain Partners electronically transmit advance commercial information, which can be used in communication with other trade chain partners.
2. Risk assessment prior to arrival provides consistency to trade.
3. Standardization of the commercial process with the expansion of automated risk assessment to all modes.
4. Focus on high risk shipments for targeting and inspection facilitates the legitimate flow of low-risk trade.
5. Ability to cleanse data reduces costly Requests for Information (RFI) to the Trade.

For CBSA

1. Data Acquisition - All trade chain partners transmit data electronically prior to arrival from all modes.
2. Entity Model – Pre-arrival trade data from multiple documents is compiled into “entities” that provide a complete view of the shipment, conveyance, and equipment. Risk assessment happens at the entity level rather than on individual trade documents.
3. Automated Risk Assessment - Commercial entities, across all modes, are risk assessed prior to arrival. Threat-based risk determinations will be used to flag high and unknown risk entities to the targeting officers. Low risk shipments will be authorized to move inland or released by the system.
4. Integrated Targeting Model – Risk assessment for admissibility and release decisions in all four modes is done by targeting officers at the National Targeting Centre.
5. Business Intelligence – Risk assessment results and examinations are used to “close the loop”, revise risk assessment rules and continually improve the risk assessment process.



eManifest Accomplishments to Date



Systems Deployed:

- ✓ eManifest Portal
- ✓ Air and Marine Conveyance Arrivals
- ✓ Manifest Forward
- ✓ Data Warehouse
- ✓ Core Information Business Model
- ✓ Data Analytics
- ✓ Phoenix

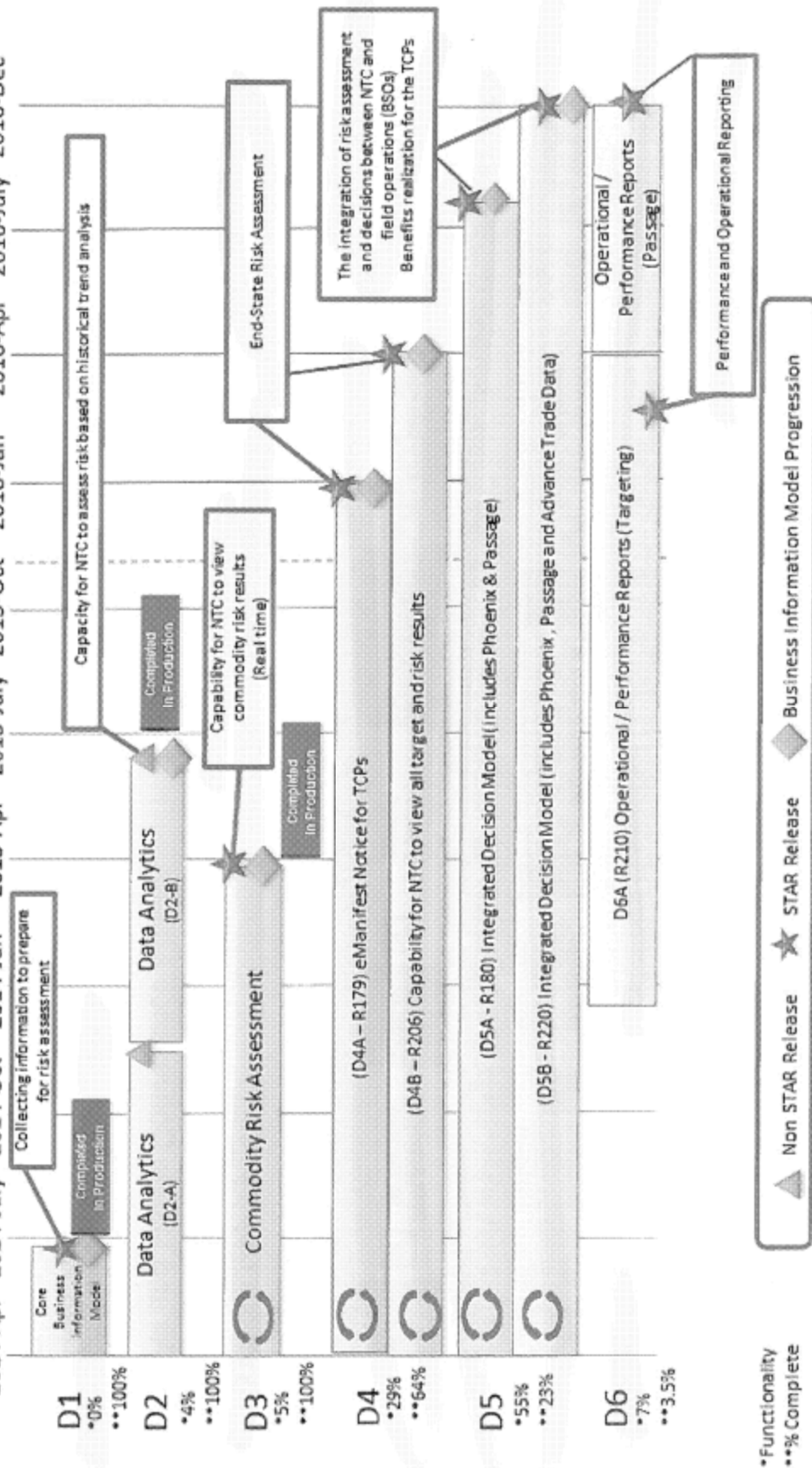
Reporting:

- ✓ Highway Reporting
- ✓ Rail Reporting
- ✓ Freight Forwarder Reporting



Delivery Approach

2014-Apr 2014-July 2014-Oct 2014-Jan 2015-Apr 2015-July 2015-Oct 2016-Jan 2016-Apr 2016-July 2016-Dec





Deployment 2 – Data Analytics

- The business case for D2 has been achieved with the successful completion of two releases:
 - D2A: The project implemented a subset of the Commercial Mining Mart on the new Enterprise Data Warehouse (EDW) Appliance with supporting data analytics to demonstrate the business value of moving to a 24 hour refresh rate. Production Date: October 22, 2014.
 - D2B: The project augmented the 24 hour refresh of the D2A data sources with Business Information Model (BIM) and Commodity Risk Results data sources. Production Date: June 29, 2015.
- Data Analytics now forms part of the National Targeting Centre (NTC) approach to targeting high risk shipments and continues to evolve and expand analytical capabilities.



Deployment 3

Commodity Risk Assessment

- D3 was successfully implemented in March 2015.
- This was the start of Automated Risk Assessment and introduced the risk results User Interface (UI) that supports the viewing of shipments.
- D3 provided the ability to view and modify High Risk Commodity rules and the capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes.
- In addition, it supports the ability to target or interdict high risk shipments using legacy commercial systems and allows the Program to assess the performance of High Risk Commodity rules in new system vs. legacy system, validating and improving the Automated Risk Assessment results.



Deployment 4A – Notices

In January 2016, the CBSA will introduce new and enhanced notification systems to increase automation of pre-and post-arrival notices to clients on commercial movements.

- The new eManifest notices were designed through consultations with external stakeholders and will provide insight into the “disposition” of their shipments.
- New eManifest notices will advise on the completeness of advance data submitted to the CBSA and on the arrival and release statuses of shipments.
- The notices align with the message that stakeholders receive from US CBP.



Deployment 4B

Risk Assessment Program Maintenance (RAPM)

- Replaces existing targeting functionality in ACROSS (legacy system), scheduled for production in April 2016.
- - Commercial Analysts create medium-complexity targets on behalf of other government departments
 - Intel and Targeting Operations create complex targets
- Intuitive wizard walks users step-by-step through the target creation process.
- 500+ targetable elements and flexible operators enable creation of virtually any rule imaginable.
- Library of standardized, pre-translated examination instructions ensures consistent communications between target creator and Targeting Officers/BSOs.
-
- Ability to set target deactivation rules to avoid negative impact on Operations.



Deployment 5

Integrated Decision Model

- Complete integration of risk assessment and passage decisions between NTC and field operations Border Services Officers (BSOs).
- Enhanced Program integrity through “closing the loop” on examination results.
- Advance Trade Data (ATD) in all modes supports Targeting Program, provides clarity on what commodities are being imported by whom.
- Fully integrated commercial processing system and application, includes Single Window Initiative.
- New Documents and Notices available to external clients.
- The eManifest system becomes the new system of record.
- Deployment 5A is scheduled for production in August 2016 and Deployment 5B for December 2016.



Deployment 6

Operational and Performance Reports

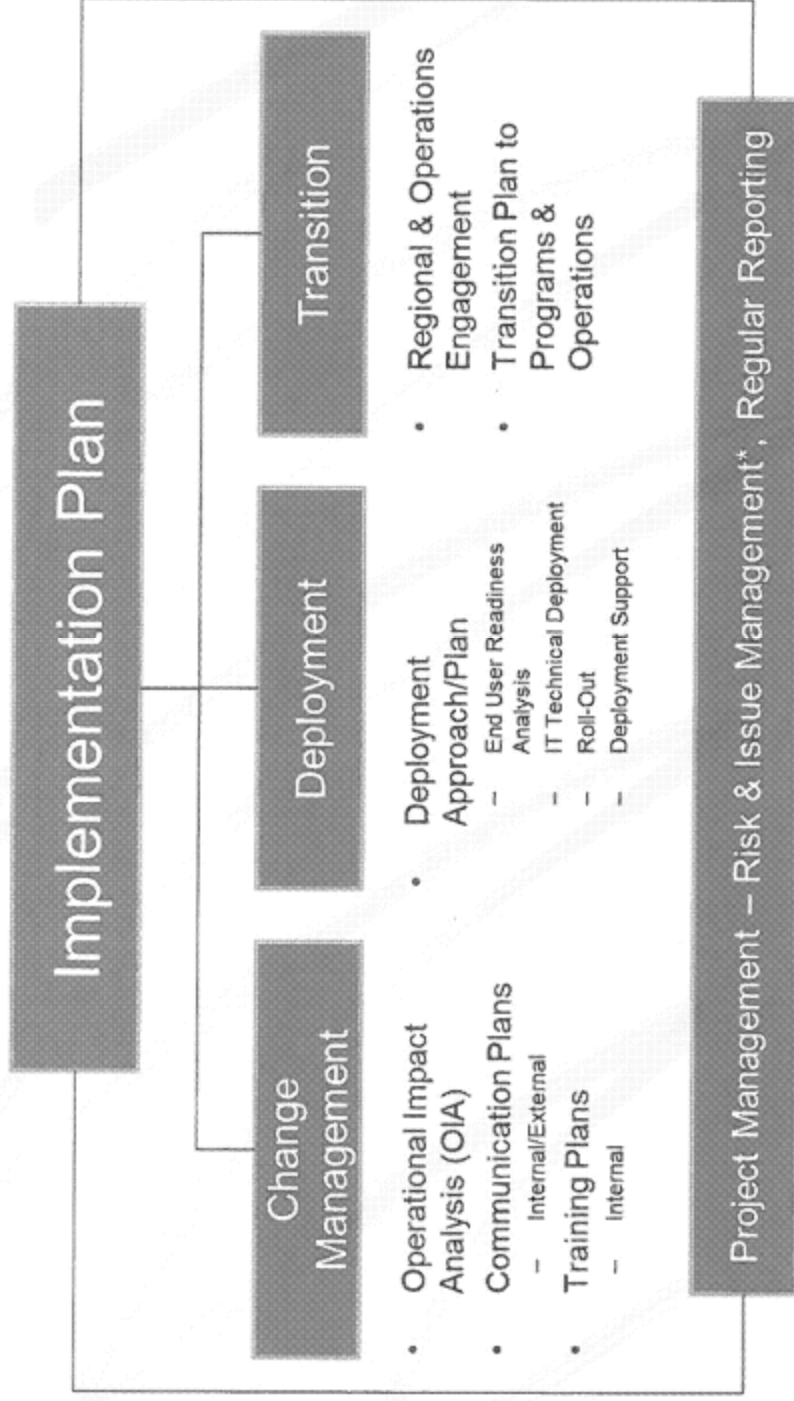
- The scope of D6A is to provide Risk Assessment: Operational and Management Reports.
- The scope of D6B is to provide Passage: Operational and Management Reports.
- This will allow for Program Performance and Operational Reporting and increased Decision Support for Programs.

Target Production Date:

- Deployment 6A (aligns with D4B production): April 2016
- Deployment 6B (aligns with D5B Production): December 2016



Implementation Strategy





eManifest Regulations Update

- From July 10, 2015, to January 10, 2016, carriers who do not comply with eManifest requirements may be issued zero-rated penalties (non-monetary) under the CBSA's Administrative Monetary Penalty System (AMPS).
- Beginning January 11, 2016, carriers who do not comply with eManifest requirements may be issued monetary AMPS penalties and will experience processing delays.
- Freight Forwarders continue to be in a voluntary compliance period. Once 4A is in production and all system functions are available to electronically process consolidated imports, regulations will be enforced.
- The Agency is working closely with carriers and freight forwarders on corrective measures to help them comply with eManifest requirements.



Budget per Deployment

as of March 31, 2015 using Approved Project Cost Base (Version 40)

Deployment (Sub-Deployments)	Budget	Completed on Time and on Budget	Earned Value
Deployment 1	\$10.3M	✓	100%
Sub-Total (Prior to FY2014-15)	\$10.3M		
Deployment 2 (2A)	\$1.1M	✓	100%
Deployment 2 (2B)	\$3.4M	✓	100%
Deployment 3	\$21.8M	✓	100%
Deployment 4	\$34.9M	Ongoing	52%
Deployment 5	\$42.4M	Ongoing	34%
Deployment 6	\$16.3M	Ongoing	13%
Sub-Total (FY2014-15 onwards)	\$119.9M		
Total for All Deployments	\$130.2M		



Appendix



Deployment 2

“Data Analytics”

Scope

- Data Analytics capability to assist intelligence officers / targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical trade data

Business Outcomes

- Capability for the NTC to assess risk based on historical trend analysis (e.g. anomalies in a companies Business Profile – pattern and trend deviation)
- Identification of ‘candidate’ risk indicators (e.g. use analytics to develop new rules based on vessel routing patterns, container delivery address)
- Modification of existing indicators based on analysis / outcomes and new data feeds

Target Production Date:

- ✓ Deployment 2A: Implemented in Production - October 2014
- ✓ Deployment 2B: June 2015



Deployment 3

“Commodity Risk Assessment”

Scope

- Start of Automated Risk Assessment
- Introduction of the risk results User Interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules to support Automated Risk Assessment of shipments

Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes;
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs. legacy system
- Validating and improving the Automated Risk Assessment results

Target Production Date:

- ✓ March 2015



Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment (all risk rules are executing and viewable)
- Implementation of initial eManifest new notices for Trade Chain Partners (TCPs)
- Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
- Resolved identities of TCPs using Master Data Management
- Implementation of a risk rules simulation environment

Business Outcomes

- Capability for the NTC to view targets and all risk results (Real Time) in all modes
- Capability to assess the operational impact of implementing new risk rules (using simulation)
- The new notices provide desirable functionality to help improve communication between CBSA and its clients as well as business-to-business communication.
- Validation of the Risk Assessment Model (identification of low and high risk entities)
- Validation that the planned targeting work force can handle the volume

D4A Target Production Date: January 16-17, 2016

D4B Target Production Date: April 2-3, 2016



Deployment 5

"Integrated Decision Model"

Scope

- Integrated decisions and referrals (Risk Assessment, Passage and Single Window Initiative)
- Capture of examination results by front line operations
- End-state notices via Electronic Data Interchange and eManifest Portal
- Introduction of Advance Trade Data (ATD) from Importers
- Implementation of end state eManifest trade document submission

Business Outcomes

- Complete integration of risk assessment and passage decisions between NTC and field operations Border Services Officers (BSOs)
- Enhance Program integrity through "closing the loop" on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program – provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application, includes SWI
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Full Benefits Realized for TCPs (Manifest Forward, Streamlined Border Processing)

D5A Target Production Date: August 2016

D5B Target Production Date: December 2016



Deployment 6

"Operational and Performance Reports"

Scope

- Risk Assessment: Operational and Management Reports
- Passage: Operational and Management Reports

Business Outcomes

- Program Performance and Operational Reporting
- Increased Decision Support for Programs

Target Production Date:

- Deployment 6A (aligns with D4B production): April 2016
- Deployment 6B (aligns with D5B Production): December 2016



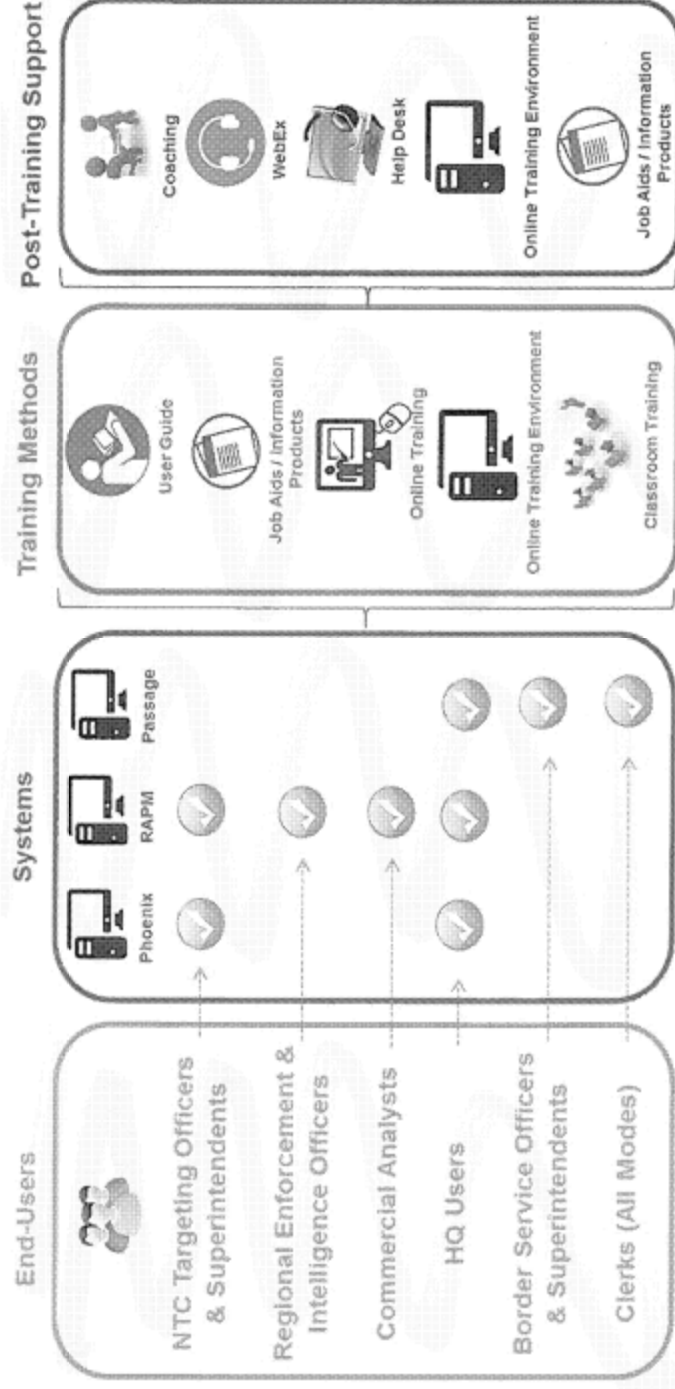
Change Management

- Recognize that end state will drive fundamental change to the CBSA commercial business model, specifically the commercial risk assessment process. Strong change management will ensure that the people, organization and cultural impacts are addressed in a structured and proactive manner.
- The eManifest Stakeholder Engagement and Communications Strategy guides continuing project communications to internal and external stakeholders.
- The external strategy is targeted for each trade group and focuses on the different set of functions available within a release.
- The end state will have more impacts on the internal stakeholders, as such, an internal communication strategy will be developed to include key messages for the different end users within CBSA.



Training

- Strategy and training modules for end state model being developed in consultation with Programs and Operations Branches. Delivery of training will be dependant on deployment option selected.
- Training strategy includes the transition of the training into the core BSO Commercial Training program.





Deployment and Transition

- 6 deployment options were identified, each of which was evaluated using 12 criteria with the goal of understanding the relative risks and benefits of each option.
- Based on the initial review, 3 options were shortlisted for detailed analysis:
 - Implementation across all Commercial End Users and Trade
 - Phased approach to Internal end users, then External stakeholders
 - Phased approach with PIL deployed by port or region
- Recommendation will be presented at executive level for endorsement.
- Transition from Project to Operation and Programs is happening as new “capabilities” are made available.
 - The Data Analytics team moved to the National Targeting Centre (NTC) in April 2015.
 - Funding and Resources necessary to support the maintenance of automated risk tools was transitioned to the NTC in September 2015.



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eManifest Project Update

November 28, 2014

*Briefing to the Senior Project Advisory
Committee by the Commercial Projects
Directorate*

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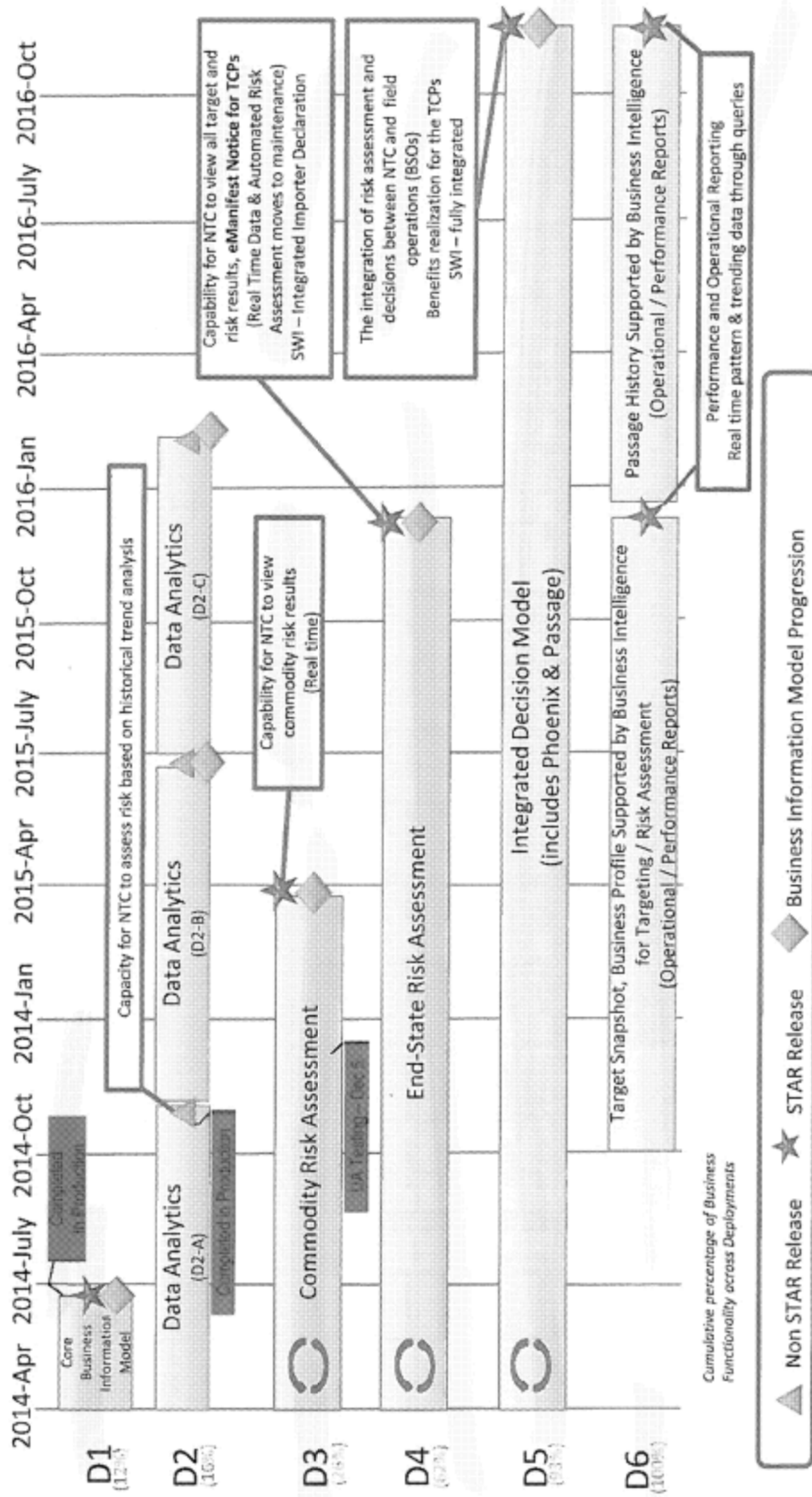


Project Update

- Ongoing Project Oversight and Support activities including;
 - Working with Comptrollership and TB for briefing scheduled December 11th.
 - Monthly reporting to TBS on Executive Dashboard and monthly reporting of Earned Value to Enterprise Project Management Office.
 - Working with Comptrollership and PWGSC on amendments to existing supply arrangements to cover project timelines.
 - Review of Third Party assessment of eManifest project Governance structure.



Project Deployment Update





Deployment 2 Business Solutions



Identification of shipments of interests based on Intelligence received from the National Targeting Centre (NTC).



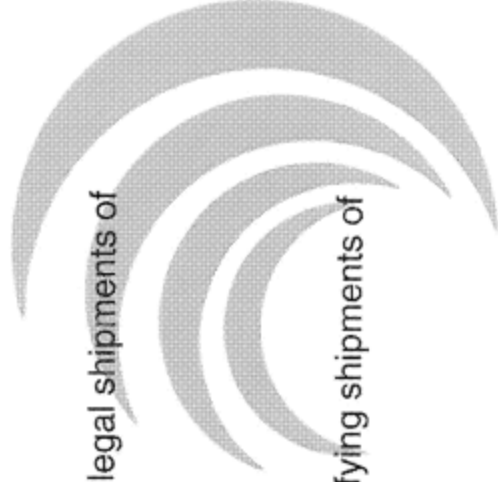
Analytical tools that seek business pattern deviations based on known characteristics of a companies importing history.



Analytical tool to assist targeting operations in identifying illegal shipments of precursor chemicals.



Assesses pre-arrival commercial data and assists in identifying shipments of interest in the rail environment.





Deployment 3

“Commodity Risk Assessment”

Scope

- Start of Automated Risk Assessment; Business Rule Authoring using new rules engine
- Introduction of the risk results User Interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules; e.g. Chemical Weapon Pre-Cursors, Dual Use Commodities, High Risk Goods for Contraband Concealment, Animal and Plant Pathogens, Bio-Toxins.

Business Outcomes

- Capability for the National Targeting Centre to view High Risk Commodity risk results (Real Time) in all modes;
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Operations to assess the performance of High Risk Commodity rules in new system vs. legacy system
- Validating and improving the Automated Risk Assessment results
- **Target Production Date:** March 2015



Upcoming Activities

- Finalize work on TBS Ministers briefing.
- Finalize Supply Arrangement amendments for professional services.
- Border Commercial Consultative Committee meeting December 5th
- Initiate User Acceptance Testing of Deployment 3.
- Showcase Deployment 3 functionality to Project Sponsors in January 2015.

Walton, Carole

From: Allison, Melanie
Sent: May 13, 2016 10:56 AM
To: Popova, Diana; Laplante, Francois; Custance, Carla; Fisher, Melanie; Paquette, Isabelle; Beiersdorfer, Barbara; Stewart, Nancy (CBSA); Lane, June
Subject: FW: E-manifest stories

Very good email that describes the targeting benefits that eManifest has brought to date for the Agency.

From: Mosca, Matt
Sent: May 9, 2016 2:52 PM
To: Allison, Melanie; Bratanic, Margarita; Hotchkiss, David; Breakwell, Candace-Ann; Rice, Geoff; Uchman, Darren; Laquerre, Brenda
Subject: FW: E-manifest stories

Hey all – as discussed at PID this am, below are some beneficial eMan stories

Thanks,

Matt Mosca

A/Junior Program Officer
Information, Science and Technology Branch
Canada Border Services Agency / Government of Canada
Matt.Mosca@cbsa-asfc.gc.ca / Tel: 343-291-6181 / TTY: 866-335-3237

Agent subalterne de programme p.i.
Direction générale de l'information, des sciences et de la technologie
Agence des services frontaliers du Canada / Gouvernement du Canada
Matt.Mosca@cbsa-asfc.gc.ca / Tél: 343-291-6181 / ATS: 866-335-3237

From: Leahy, Mike (CBSA)
Sent: May 6, 2016 8:18 AM
To: Scotten, Michael; Soloway, Su; Clarida-Borger, Ruth
Subject: FW: E-manifest stories

Fyi

From: Imrie, Megan
Sent: Thursday, May 5, 2016 3:39 PM
To: Walker, Christine (HQ)
Cc: Blanchard, NathalieX; Porrior, Paul; Sovani, Zaina; Pinsent, John; Xavier, Caroline; Bolduc, Martin; Chénier, Maurice
Subject: E-manifest stories

Hi Christine,

As requested, please find input from Operations (thanks Paul!) and Programs in advance of the meeting with Finance. Probably more than you need, but we thought you could pick and choose the most compelling points.

E-Manifest - Analytics enhancing operational decision making:

- **Enterprise Data Warehouse** – eManifest has enabled an enhanced enterprise data warehouse, with 6+ years of data, providing a 24-hour refresh. This has enabled the NTC to enhance decision making through analytics in real time for Marine Cargo and Conveyance. Later this year eManifest will be providing a 1-hour refresh of data, which will enable the NTC to enhance decision making in Rail, Highway and Air.
- **Supporting Risk Rule Development** – The NTC is using the Enterprise Data Warehouse to conduct research and analysis in order to develop, monitor and improve Risk Indicators for Commercial. This supports targeting at the NTC and the creation and development of new risk indicators, which in turn helps in the identification of high risk goods.
- **Advance Commercial Information:** Prior to eManifest the Agency did not have an automated means to collect Advance Information and target in the Highway and Rail modes. The implementation of eManifest has obligated the provision of Advance Commercial Information by Highway and Rail carriers. New mandatory eManifest requirements of Conveyance Arrival Certification Message and Warehouse Arrival Certification Message now also provide the agency situational awareness on the movement of targeted goods.
 - CN and CP are in full compliance and represent 95% of rail volumes into Canada
 - Highway carriers now provide mandatory Advance Commercial Information and have a high level of compliance.
 - By bringing these two modes online, along with marine (2004) and air (2006), we are much closer towards paperless processing of the over \$1 M worth of imports that arrive into Canada each minute while better being able to identify threats to the health, safety and security of Canadians pre-arrival.
- **Business Information Search** – eManifest analytics has enabled the NTC to build models that allow intelligence and targeting officers to search for specific company's addresses or phone numbers in a matter of seconds. This process previously took days to execute.
- **Business Profiles** – The NTC analytics team has developed processes to identify normal and abnormal behavioural patterns for specific businesses operating in Canada. This stream allows the NTC to determine if shipments related to these businesses is of low, medium or high risk.
- **Commodity Profiles** – The NTC analytics team has developed processes to identify normal and abnormal behavioural patterns for specific commodities being imported into Canada. These streams allow the NTC to determine if imported commodities are of low, medium, or high risk.
- **Predictive Analytics (Further results below)** – The NTC has developed predictive models that have been operationalized at the NTC to identify high risk goods destined for Canada. Success from these processes will be incorporated into the Risk Indicators build developed for automated targeting in eManifest. One specific model resulted in the largest cocaine seizure of last fiscal year, and also led to multiple arrests. After only 6 referrals, the predictive model built by the NTC identified this specific shipment for referral, which was enabled by eManifest and the enhancement of the Enterprise Data Warehouse.
- **Vessel Reporting** – The NTC analytics team has developed a report that aids targeting officers in triaging their work lists. The report summarizes important data (including historical trade chain partner data, and previous exam referral data) in a way that is currently impossible in any other system and this was enabled by the eManifest project.

- Enforcement & Intelligence – The NTC analytics team works closely with the Intelligence analytics team to provide expertise on building analytical queries to create efficiencies and identify high-risk commercial entities.
- Operational Decision Management (ODM) – The ODM risk rule development and maintenance software application permits the Targeting Risk Indicators and Scenarios team has enabled the CBSA to :
 - Develop, analyse, create, build, enter, activate, monitor and maintaining commercial risk indicators to be used with the new eManifest systems and functionality being delivered.
 -

Significant CBSA Contraband Interdictions

Provided below are a number of significant interdictions identified by the CBSA National Targeting Centre (NTC) through the direct application of E-manifest enabled advanced analytics. The NTC employs data analytics software to assist in the linking and analysis of data received from various sources (domestic and international partners, past seizures, high side intelligence). This transcends into the creation of Risk Assessment Targets, Intelligence Reports, Shift Briefings, targeting projects and successful interdictions.

Air Mode

Marine Mode

From: Bolduc, Martin
Sent: May 4, 2016 5:11 PM
To: Chénier, Maurice; Walker, Christine (HQ); Xavier, Caroline; Imrie, Megan
Cc: Blanchard, NathalieX
Subject: Re: E-manifest stories

Megan who is copied will reach out to Ops

MB

De: Chénier, Maurice
Envoyé: mercredi 4 mai 2016 16:20
À: Walker, Christine (HQ); Bolduc, Martin
Objet: RE: E-manifest stories

OK – Martin : just to make sure this doesn't fall into any cracks – are you chasing down with OPS on this one?

Thanks

From: Walker, Christine (HQ)
Sent: May 4, 2016 4:19 PM
To: Chénier, Maurice; Bolduc, Martin
Subject: E-manifest stories

For the e-man tb sub I need specific examples of how e-manifest allowed us to target and find illicit goods.

I need by Friday AM - 10 stories which Michael Vandergrift could use to present to TB to show the impact of this system.

Sent from my BlackBerry 10 smartphone on the Rogers network.



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eManifest Update

**Commercial Projects Directorate /
Presentation to Pacific Region
September 2015**

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September 18, 2015 Version 2.0, Project Implementation Division

Canada



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- Benefits (Canada, Trade, CBSA)
- Accomplishments to date

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- Risk Assessment
- Passage
- Business Intelligence

eManifest Training

Next Steps

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eManifest

eManifest modernizes and enhances the screening of goods and commercial processes by improving the CBSA's ability to detect shipments that pose a high or unknown risk prior to their arrival and facilitating the movement of low-risk shipments.



eManifest Benefits - Canada



- All commercial information will receive an automated risk assessment to protect the health, safety and security of Canadians.
- Automating risk assessment will improve the response time for identifying and locating a real or potential threat for goods within customs control and for new pre-arrival information from the trade community.
- The risk assessment system will use business intelligence based on historical data to ensure results from prior examinations are taken into consideration.

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"eManifest Benefits – Canada" slide

Key messages:

- eManifest will receive the right information from the right source at the right time.
- Using this advance information up front, enables the Agency from a systems perspective, "to see the risks" .
- We can use this data to determine:
 - Who is Who?
 - Who knows Who?
 - What are the goods?
 - Is there a known risk?
- And thereafter build profiles and historically compare otherwise disparate data groupings.



eManifest Benefits - Trade




- As the new regulations require trade information to be submitted prior to arrival, trade can utilize their own data in communication with other trade chain partners (manifest forward)
- Provides uniformity and predictability for the international movement of goods.
- eManifest simplifies the submission process for cargo by streamlining the submission requirements to one multimodal option

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"eManifest Benefits – Trade" slide.

Key messages:

- Prior to eManifest there is no requirement for importers to provide information about the goods prior to arrival, so this information can only be used when available.
- This advance data provides more detailed information about the goods and enables greater exposure into the supply chain.
- When all trade chain partners provide data, entity relationships and linkages can be established. Trade can use their data, for example by electronically share notices and electronic documents , i.e. manifest forward in order to facilitate import movements. For example a carrier can electronically share their cargo and conveyance data with a broker who can prepare release documentation.



eManifest Benefits - CBSA



- All trade chain partners transmit data electronically prior to arrival
- Risk assessment on shipments in all modes occurs before goods arrive in Canada, targeting and examination processes are improved. Focus on high risk shipments.
- Systems designed on user needs result in more efficient and effective processing.
- Examination results are fed back into the risk assessment system.

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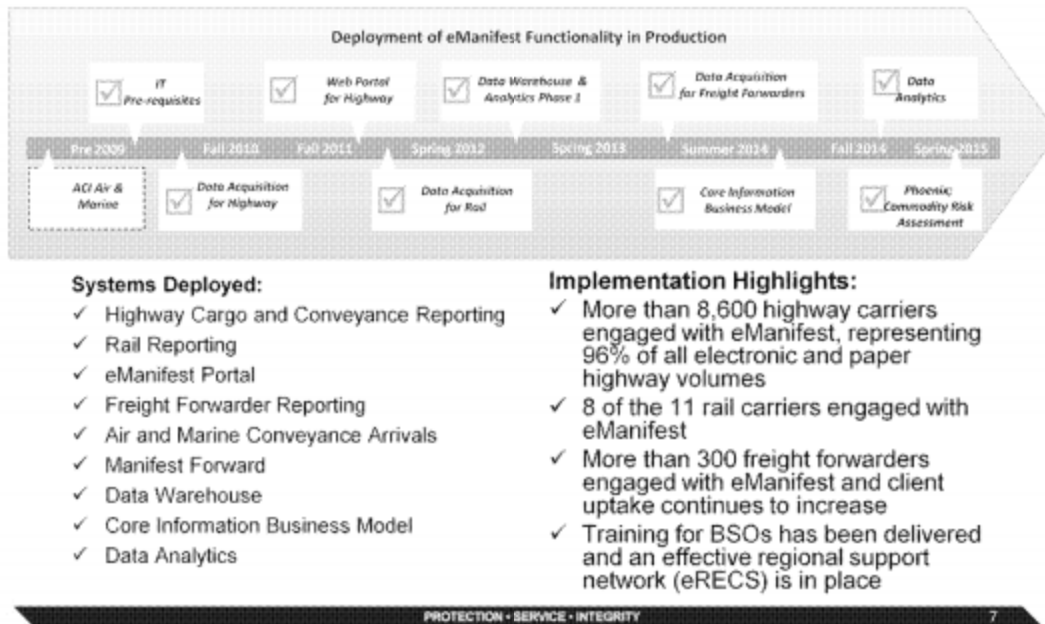
"eManifest Benefits – CBSA" slide

Key Messages:

- Our organization, CBSA, and our mandate, will significantly benefit from the investments that are being made as a result of eManifest, particularly in the risk assessment continuum.
- When all trade partners are transmitting, we will have predictability, we will have insight into their organizations, we will be able to analyze, learn and build the capacity of our risk assessment systems.
- We will see risks in advance.



eManifest Accomplishments



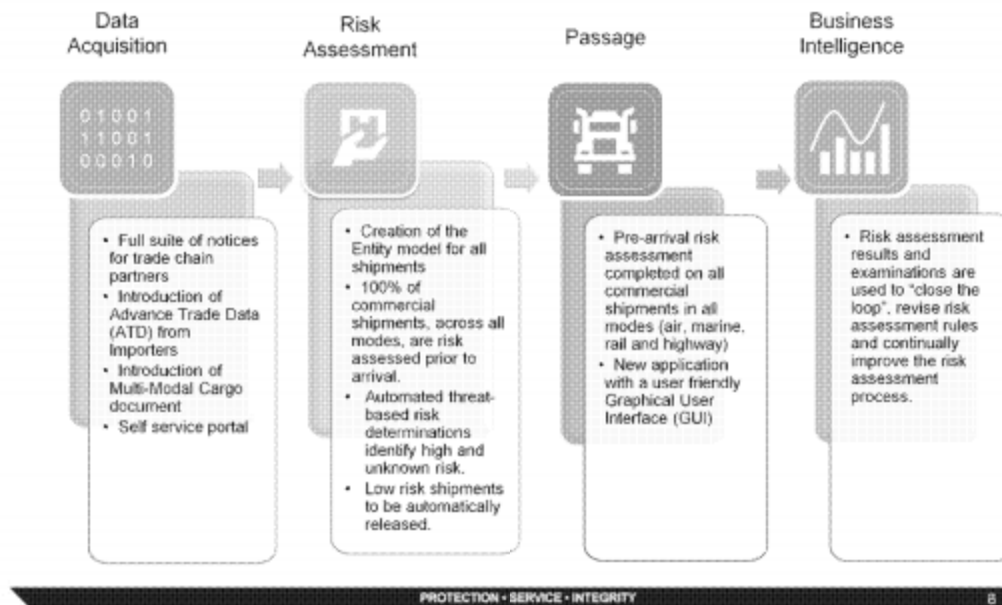
"eManifest Accomplishments", slide

Key messages:

- Building upon ACI - Air and Marine, the eManifest project has made significant achievements in moving the project forward.
- The focus of the project in the beginning was to engage our trade chain partners and put in place the IT infrastructure investments and pieces so that we have the ability and capacity to receive the mandated data.
- Some of the highlights include:
- Since fall of 2009 we have been able to receive data from highway carriers and to date of the 8,600 carriers who are engaged with eManifest represents approximately 96% of our highway volumes.
- During this time we also designed, developed and implemented the eManifest Portal, a free option for certain trade chain partners to use to efficiently send their cargo and conveyance data to the CBSA.
- During 2012 we worked closely with the rail community and are receiving data from the major rail carriers.
- Early in 2013, the project worked closely with the regions through the chiefs working group to implement the eManifest regional external client support (eRECS). This service has been very welcomed and appreciated by the trade community as well as within the project itself. As well we have supported the region by delivering training based on operations needs.
- More recently the project has been focused on building our data warehouse that will support the risk assessment systems being developed.



eManifest Process Flow

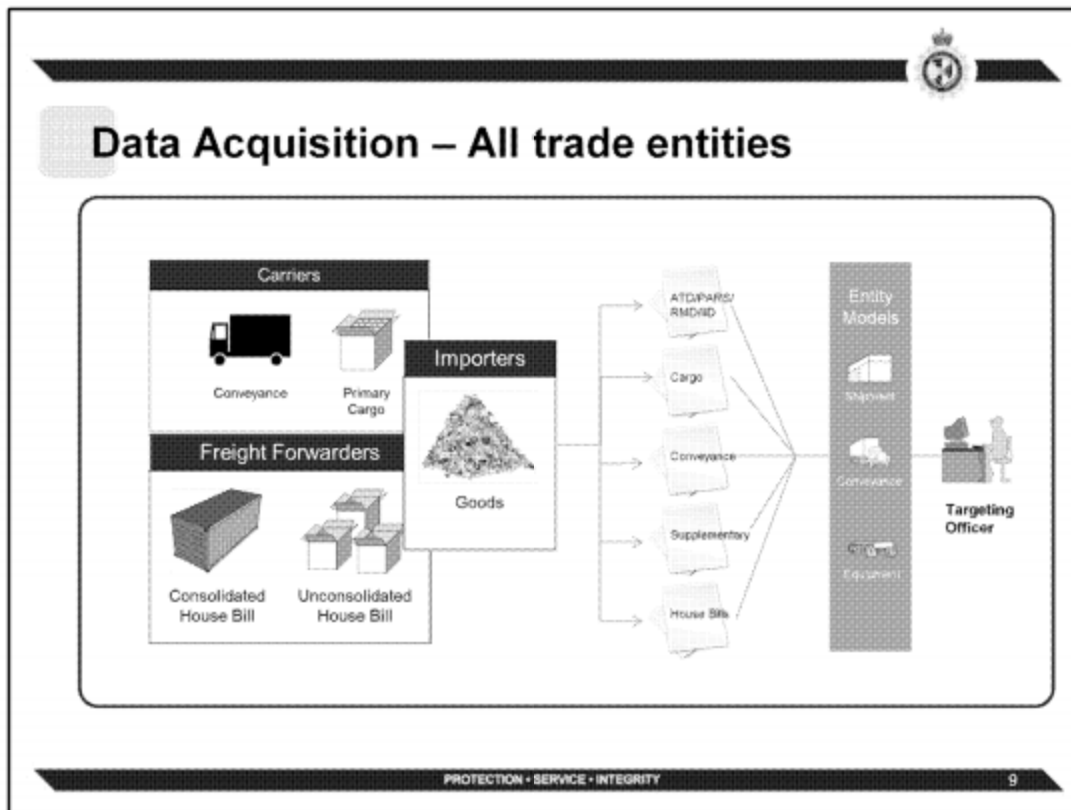


"eManifest Process Flow" slide:

Key messages:

The project has been focused on 4 primary areas, Data Acquisition, Risk Assessment, Passage, and Business Intelligence

- Full benefits realized for TCPs with electronic submissions, notifications, streamlined border processing and consistent national approach.
- Full benefits realized for internal stakeholders with an automated risk assessment process, improved commercial business process with risk assessment on all data from all modes, streamlined examination results and better tools/applications for our Targeting Officers and front line officers.
- New Commercial border processing application (Passage) that will be used by BSOs to process commercial shipments as they enter Canada
- eManifest systems becomes the new systems of record and there is full integration between the POEs and the NTC, with enhanced program integrity through "closing the loop" on examination results.



"Data Acquisition – All trade entities"

Key Messages:

- Documentation (ATD/PARS/RMD/IID, Cargo, Conveyance, Supplementary, Housebills) is received from the Trade Chain Partners (TCPs), merged into an 'entity' within the system and presented to the Targeting Officer as a holistic view of the shipment
- When data is received, cleansing tools will be used to improve the quality of data presented to the officer and will reduce costly requests for information (RFI) to the Trade. (Addresses, identities)
- Clusters of the best quality data are pulled from multiple trade documents and organized into 'entities' for risk assessment (shipment, conveyance and equipment).
- Single user can assess trade information from all TCPs (ACI data and commercial release) and make an admissibility and release decision against the 'entity.'



2 Threat Based Scoring (TBS)


100% of transmissions are risk assessed prior to arrival by the CBSA system

- Calculates and displays risk in each threat category individually
- TBS recognizes that different categories of risk have signatures of different sets of risk indicators
- Risk indicators are grouped into one or more threat categories
- Each threat category is scored individually

"Threat Based Scoring (TBS)" slide

Key Messages:

- Risk assessment will expand to include shipments in all modes
- Risk scoring will expand to validate conveyance, cargo, secondary cargo and admissibility release information
- Threat-based scoring will assign a numerical risk score to each shipment so high risk shipments can be flagged for review
- The creation and management of risk rules allows for greater responsiveness than the legacy process.
- Based on risk scores and categories, shipments below certain risk scoring thresholds will be automatically recommended for release
- This eliminates low risk shipments (ELR) from a mandatory review by a targeting officer



Passage - First Point of Arrival

Passage System replaces ACROSS in all modes

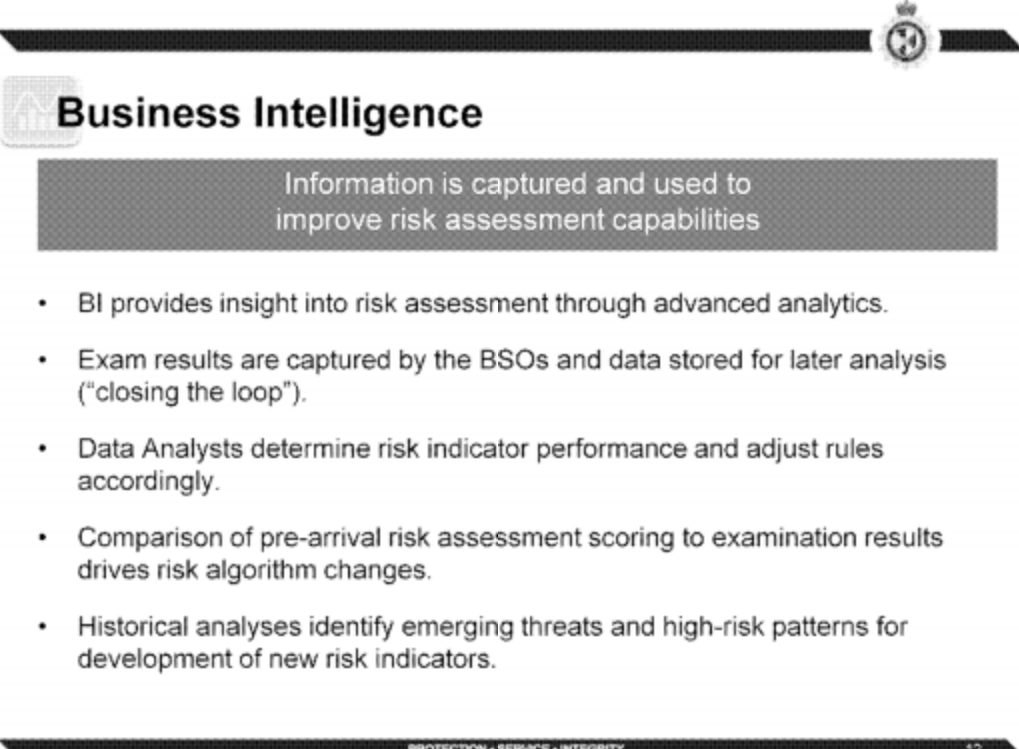
- In highway, the BSO has access to a new application with a user friendly Graphical User Interface (GUI) to review the risk assessment recommendation, the shipment entity information and make a decision to allow the goods to move or refer them for further examination.
- In other modes, carrier submits arrival message and receives notifications on whether goods are allowed to move or held for CBSA.

PROTECTION • SERVICE • INTEGRITY 11

“Passage – First Point of Arrival” slide

Key Messages:

The changes with the Passage system will allow the BSO to focus on their Core Mandate – Examination and evaluating high risk at the border



The slide features a header with a crown logo on the right. Below the header, the title "Business Intelligence" is preceded by a small icon of a building. A grey box contains the text "Information is captured and used to improve risk assessment capabilities". A bulleted list follows, and the footer includes the motto "PROTECTION • SERVICE • INTEGRITY" and the number "12".

Business Intelligence

Information is captured and used to improve risk assessment capabilities

- BI provides insight into risk assessment through advanced analytics.
- Exam results are captured by the BSOs and data stored for later analysis ("closing the loop").
- Data Analysts determine risk indicator performance and adjust rules accordingly.
- Comparison of pre-arrival risk assessment scoring to examination results drives risk algorithm changes.
- Historical analyses identify emerging threats and high-risk patterns for development of new risk indicators.

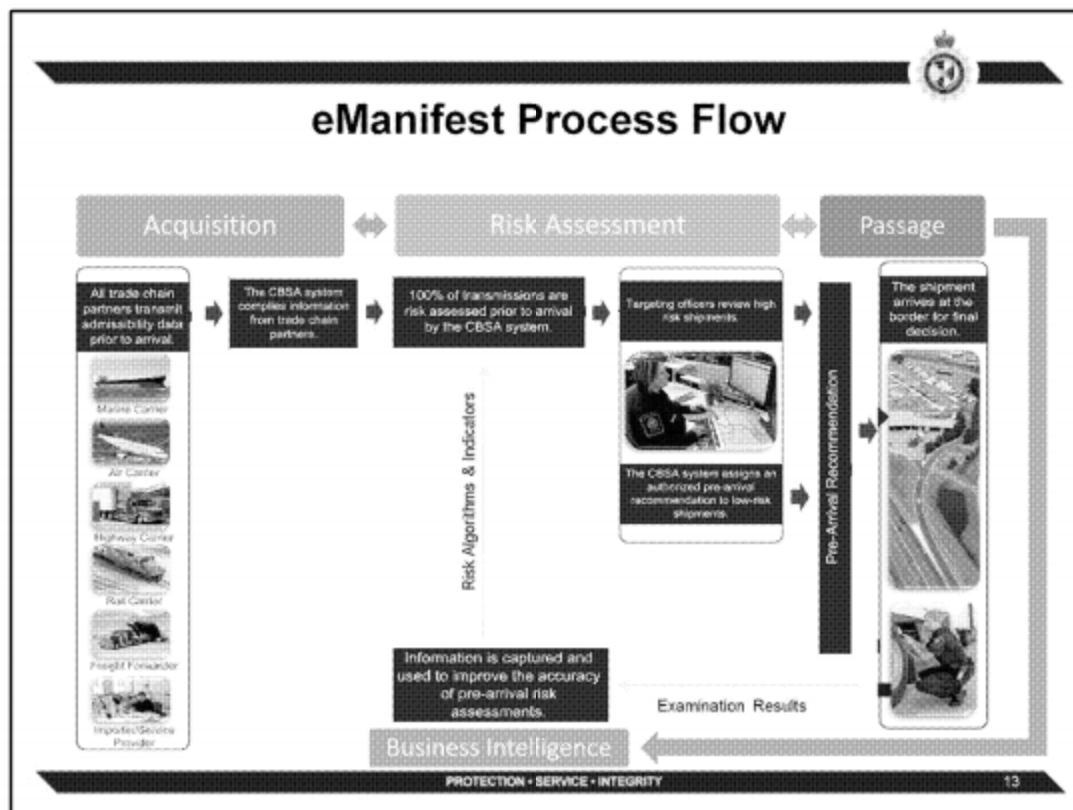
PROTECTION • SERVICE • INTEGRITY 12

"Business Intelligence" slide

Key Messages:

The Agency will experience long term dividends with the investments being made in the area of Business Intelligence.

"Closing the loop" between identifying potential risk, conducting examinations based on those risk indicators, and finally by confirming the results of those examinations will allow the Agency to improve our risk assessment capabilities.



"eManifest Process Flow" slide

This slide represents and summarizes the 4 main areas that have been described on the previous slides and visually represents the operational business flow of the data at stages before, during , and after the border.



eManifest Training

- The eManifest Training Strategy activities will ensure uniformed personnel are trained to use the new systems.
- The Commercial Projects Directorate's Project Training Unit is developing and delivering training material for impacted CBSA end-users.
- A wide range of training products and activities will be delivered according to operational impacts and the complexity of the functionality, processes, and policies involved.
- Regional eManifest resources will be used to validate and make recommendations on training products
 - Chief Working Group / eRECS / IP-SOR / Regional Programs

"eManifest Training" slide

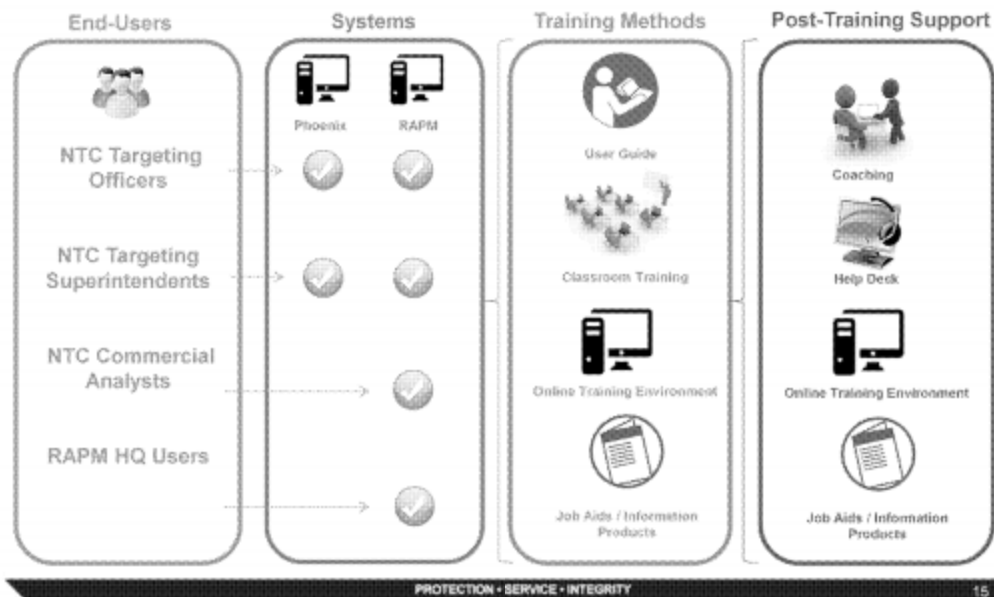
Key Messages:

The project has and continues to work closely with Operations and Program areas to support BSOs with the knowledge of how to process eManifest shipments

- The CBSA is implementing operational training activities to help employees acquire knowledge and skills required to use the new systems and processes implemented by eManifest .
- This will be done in consultation and collaboration with the Training and Development Directorate, Commercial Operations, Commercial Programs, the Chiefs Working Group, and eRECS personnel



National Targeting Centre (NTC) Training



"National Targeting Centre (NTC) Training" slide

- This slide provides a high level overview of the training strategy for the National Targeting Centre
- Training on the two primary eManifest systems: Phoenix, RAPM
- Various Training methods will be used and post-training support will be provided to the users.

Additional details:

Training Summary:

RAPM (Risk Assessment Program Maintenance)

~350 end-users - National Targeting Centre (NTC) Targeting Officers and Superintendents, Commercial Analysts, and HQ end-users

Training duration: ~Up to 1 day of training per end-user.

Phoenix

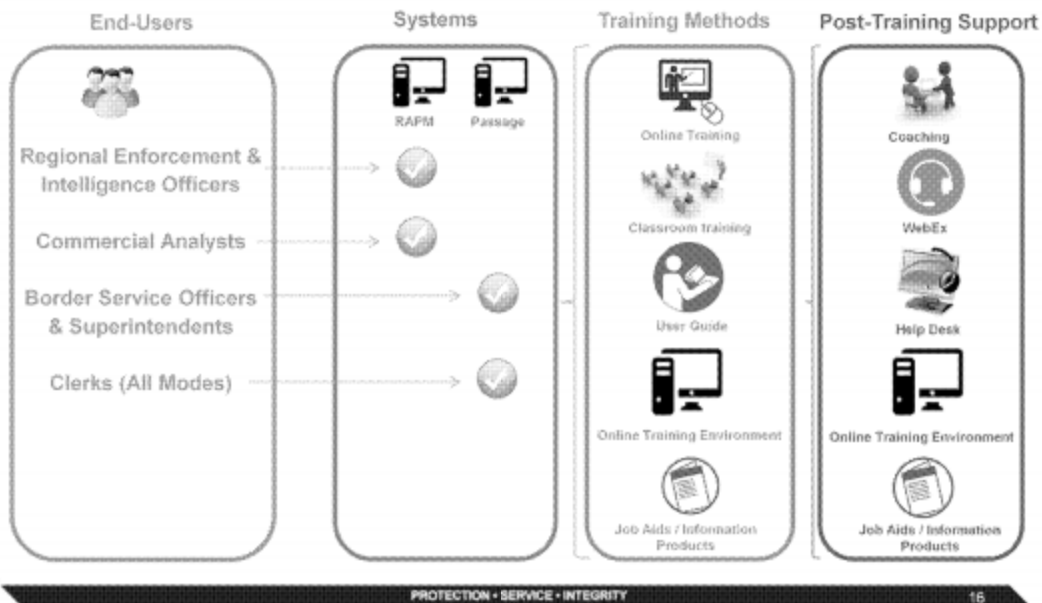
~150-200 end-users - NTC Targeting Officers and Superintendents, and HQ users

Training duration - ~Up to 2 days of training per end-user.

Post training support will be as-required based on observations during training, training evaluations, and feedback from end-users.



Regional Training



Regional Training" slide

Key Messages:


- This slide provides a high level overview of the training strategy for the employees in the regions
- Training on the two primary eManifest systems: RAPM for regional intelligence and Passage for POE personnel.
- Various Training methods will be used and post-training support will be provided to the users.
- Our next steps with training include:
 - In the coming weeks and months, we will consult with the Regions , Commercial Programs, Commercial Operations, and the Chief Working Group to ensure effective operational planning for training
 - For our design and development of training we will be collaborating with TDD

Additional Details:

Passage

~5000 end-users - BSOs, Superintendents, Clerks in all modes, and HQ users

Training duration - ~ Up to 3 days of training per end-user.



Benefits of eManifest

<ol style="list-style-type: none"> 1. Risk assessment happens before goods arrive in Canada. 2. Trade Chain partners electronically transmit advanced commercial information. 3. Automated risk assessment is expanded to all modes with the inclusion of highway and rail. 4. Enhanced risk assessment allows for the dynamic creation of automated risk rules across 8 threat categories. 5. Focus on high risk shipments for targeting and inspection. 6. Better quality data will reduce costly requests for information (RFI) to the Trade. 7. Facilitates the legitimate flow of low-risk trade. 8. Lowers the overall cost of reviewing shipments 9. Standardizes the commercial risk assessment process. 	<ol style="list-style-type: none"> 1. Data Acquisition - All trade chain partners transmit data electronically prior to arrival from all modes. 2. Entity Model – Pre-arrival trade data from multiple documents is compiled into “entities” that provide a complete view of the shipment, conveyance, and equipment. Risk assessment happens at the entity level rather than on individual trade documents. 3. Automated Risk Assessment - 100% of commercial shipments, across all modes, are risk assessed prior to arrival. Automated threat-based risk determinations will be used to identify high and unknown risk. Low risk shipments will be automatically released. 4. Integrated Targeting Model – Risk assessment for admissibility and release decisions in all four modes is done by targeting officers at the NTC. 5. Business Intelligence – Risk assessment results and examinations are used to “close the loop”, revise risk assessment rules and continually improve the risk assessment process.
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The current reliance on paper documentation is burdensome and not easily used for risk assessment

- Information from various sources at different times leads to an incomplete picture of the whole shipment
- Insufficient regulations on information required from trade to ensure proper security at the border
- Aging systems with limited functionality, which takes time for officers to process at the border
- Uncertainty for trade about status of processing of their shipments at the border

After eManifest

- 100% Electronic documentation for more comprehensive information regarding risk decision-making
- Shipment information from all sources linked to see the whole picture of an importation
- New regulations will ensure the Agency has the necessary information to make informed decisions
- New user-friendly systems that will facilitate informed and efficient decision making at the border
- Improved two-way electronic messaging with trade that will help all TCPs share information on shipment status throughout the process



Next Steps

- Future eManifest releases
 - Fall/winter, Trade will be able to receive new notices regarding shipment status
 - Spring 2016, National Targeting Centre will be able to view targets and risk assessment results (Deployment 4)
 - Winter 2016/2017, National Targeting Centre is able to make risk assessment decisions. Implementation and training activities will thereafter follow allowing shipments to be processed at CBSA Offices using the Passage application.
- Working with the Programs and Operations Branch to communicate process pertaining to regulatory compliance.

PROTECTION • SERVICE • INTEGRITY

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“Next Steps” slide

Key Messages:

- The project is focussed on implementing significant releases.
- Programs, Operations, and IST Branches are working together on communicating regulatory compliance timelines.
- In the coming weeks and months, we will consult with the Regions, Commercial Programs, Commercial Operations, and the Chief Working Group to ensure effective operational planning for training

Compliance Timelines as per the CBSA website:

On May 6, 2015, regulatory amendments supporting the eManifest initiative were published in the Canada Gazette, Part II. eManifest requirements for highway carriers are now mandatory and the Agency is working with carriers on corrective measures to help them comply with requirements. The following implementation timelines apply:

- From July 10, 2015, to January 10, 2016, carriers who do not comply with eManifest requirements may be issued zero-rated penalties (non-monetary) under the CBSA's Administrative Monetary Penalty System (AMPS).
- Beginning January 11, 2016, carriers who do not comply with eManifest requirements may be issued monetary AMPS penalties.

Additional information communicated by Customs Notice 15-030 *“Interim eManifest Requirements Respecting Empty Highway and Rail Conveyances and In-transit*

Highway and Rail Conveyances"

eManifest Build 1
Privacy Impact Assessment (PIA)
PROTECTED B

CRAAI
May/ 2014 / Ver. 1.10

Version Control

Version	Author	Action	Date
1.0	Carla Custance	First Draft	April 15, 2013
1.1	Carla Custance	Updated with Michael Patenaude's Comments	April 17, 2013
1.2	Robin Lortie/ Mario Plouffe	Recommendations from ATIP	May 7, 2013
1.3	Carla Custance	Changes Based on ATIP's and Privacy Consultant's recommendations	May 8, 2013
1.4	Carla Custance	Changes based on PIA Working Group Feedback	June 11, 2013
1.5	Carla Custance	Changes based on Privacy Consultant feedback and Final PIA Working Group Feedback	June 24, 2013
1.6	Carla Custance	Small wording changes and added text to details for question 13.1 based on manager feedback.	July 11th, 2013
1.7	Carla Custance	Updated based on ATIP's final feedback	August 2, 2013
1.8	Carla Custance	Updated based on Legal Service's comments and final review.	August 7, 2013
1.9	Carla Custance	Updated the TRA section	November 4, 2013
1.10	Carla Custance	Amended to include the addition of CDEM and AVI that will be used to support Risk Assessment in Build 2 as well as the operational use of the data warehouse.	May 15, 2014

Change Control Table

Version	Date	Change Made By	Change Requested By	Change

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Privacy Impact Assessment Date / Version:	YYYY-MM-DD (Date sent to OPC)
Office of the Privacy Commissioner file #:	000816
Project Implementation Plan (if applicable)	
Federal Institution:	Canada Border Services Agency (CBSA)
Related Class of Record Number:	CBSA IST 002
Personal Information Bank:	CBSA PPU 048
Government Official Responsible for PIA:	Vice President, Programs Branch
Delegate for section 10 of the <i>Privacy Act</i> :	ATI and Privacy Director

EXECUTIVE SUMMARY

eManifest Build 1

eManifest is the third phase of the Advance Commercial Information (ACI) program, which mandates the submission of electronic pre-arrival commercial information, increasing the Canada Border Services Agency's (CBSA) ability to perform an effective risk assessment prior to the commercial goods arriving in Canada. The ACI program is about getting the right information at the right time to enhance the CBSA's ability to identify potential threats to Canada, while facilitating the movement of low-risk commercial goods across the border.

The CBSA successfully implemented Phase I (Marine mode) and Phase II (Air mode) of the ACI program in April 2004 and June 2006 respectively. Phase III of the ACI initiative, eManifest, extends the requirements of ACI Phases I and II to the highway and rail modes. Furthermore, once fully implemented, eManifest will require commercial carriers, freight forwarders and importers or their brokers in all modes of transportation (air, marine, highway and rail) to electronically transmit pre-arrival cargo, conveyance, house bill/supplementary cargo and importer advanced trade data to the CBSA, as well as crew information.

eManifest will be implemented in three builds as follows:

- Build 1 includes electronic pre-arrival submission of cargo and conveyance information in the highway mode (implemented October 2010), rail mode (implemented May 2012) and house bills in all modes (implemented in June 2013), and the introduction of the eManifest Portal advanced information transmission method and enhanced notification processes (August 2011);
- Build 2, which will be implemented at a future date, will include the optional electronic pre-

arrival submission of importer data (advance trade and release data) and will introduce an enhanced automated risk assessment system for transmitted importer, cargo, conveyance, and house bill information in all modes; and

- Build 3, which will be implemented at a future date, will include the submission and subsequent risk assessment of electronic pre-arrival crew information in all modes and enhanced functionalities for risk assessment.

The CBSA has developed an implementation strategy for eManifest where participation will be voluntary for the first year following each implementation date to allow clients time to prepare for mandatory program requirements. This will be followed by a 6 month informed compliance period where only zero-rated penalties will be applied, at the end of which participation will be mandatory.

This Privacy Impact Assessment (PIA) is specific to Build 1 of eManifest. Separate PIAs will be completed for each of the subsequent builds, as they include additional personal information elements and may include additional uses for the information.

The personal information collected in Build 1 on the cargo and house bill submissions includes contact information for the shipper, consignee, notify, and delivery parties, dangerous goods contact information, as well as vehicle/equipment identification information. This information is utilized in risk assessment to determine admissibility and release of goods into Canada, and will also be used for business analytics and reporting in the Enterprise Data Warehouse Environment (EDWE). These fields are usually classified as commercial information, but if the business is a sole proprietorship, they are considered to be personal information.

This personal information is transmitted electronically to the CBSA by a carrier, freight forwarder or service provider through either Electronic Data Interchange (EDI) (all modes) or through a new information transmission option, called the eManifest Portal, which allows for the electronic submission of pre-arrival commercial information through the Internet (house bills all modes, and cargo and conveyance data in the highway mode only). Information must adhere to the following timeframes by mode:

Type of Submissions for Build 1	Timeframe
Highway cargo, conveyance and house bill information	A minimum of one hour prior to arrival in Canada
Rail cargo, conveyance and house bill information	A minimum of two hours prior to arrival in Canada
Marine house bill information	Twenty-four hours prior to loading on the vessel at the last foreign port of loading depending on type and origin of commercial goods
Air house bill information	Four hours prior to arrival in Canada or at time of departure for flights less than 4 hours in duration

Carriers and freight forwarders who wish to submit information through the eManifest Portal must register for an account. This process begins with a cyber-authentication offered by the government of Canada (outside the scope of this PIA). Then the CBSA requires Business Account owners to obtain a shared secret, and register for both a Portal Business Account and User Account; all three of these steps require contact information to be provided. In addition, language preference is required to create a Portal User Account. Account Owners may designate other users for their account. These other users only register for a Portal User Account. This contact information will not have any other use outside of registration, testing and client support. All Portal users are also issued a Unique Reference Number (URN) for identification purposes.

Similarly, carriers and freight forwarders wishing to submit information through EDI must provide contact information as part of the registration process. This information will only be used for registration, testing and client support.

The eManifest compliance management framework provides for client support plans and compliance management plans which include communications, outreach activities, policy and technical support helpdesks and compliance management activities which are all designed to educate clients and promote compliance.

The CBSA is implementing the following to enhance the privacy protections of the personal information collected for eManifest Build 1:

- Registering a personal information bank (PIB) for eManifest with Treasury Board of Canada Secretariat (TBS) for publication in Info Source;
- Restricting the use of trade document personal information to risk assessment, admissibility, business analytics, compliance monitoring and client support;
- Restricting the use of registration personal information to registration, testing and client support; and
- Controlling access to the databases containing the personal information.

Right of Access

An individual will be informed of the purposes, uses, disclosure and retention of his/her personal information through a Privacy Notice Statement (PNS). Portal clients will view and accept this PNS in the Terms and Conditions every time they log on to the Portal. This PNS will also be included in the paper registration process required for EDI clients.

An individual may formally request access to his/her personal information, or access to corporate records related to or created by eManifest by contacting the Access to Information and Privacy (ATIP) Division. More information about this can be found at: <http://www.cbsa-asfc.gc.ca/agency-agence/reports-rapports/pia-efvp/atip-airp/menu-eng.html>.

Accountability

If an individual has concerns about the collection, use, disclosure or retention of his/her personal information, he/she may issue a complaint to CBSA ATIP. Complaints should be made in writing, and include the individual's name, contact information, and a brief description of his/her concerns.

Contact information for the Access to Information and Privacy Division at the CBSA can be found at <http://www.cbsa-asfc.gc.ca/agency-agence/reports-rapports/pia-efvp/atip-aiprp/contact-eng.html>.

ABBREVIATIONS AND ACRONYMS

The following is a list of abbreviations and acronyms used in this report:

ACI	Advance Commercial Information
ACROSS	Accelerated commercial Release and Operations Support System
ATIP	Access to Information and Privacy
CBSA	Canada Border Services Agency
CECP	Customs Electronic Commerce Platform
CCS	Commercial Customs System
CLF	Common Look and Feel
COR	Class of Record
CTS	Commercial Trade Services
DSO	Departmental Security Officer
ECCRD	Electronic Commerce Client Requirements Document
ECU	Electronic Commerce Unit
EDI	Electronic Data Interchange
FPOA	First Point of Arrival
GOC	Government of Canada
GSP	Government of Canada Security Policy
HQ	Headquarters
ID	Identification
ISA	Information Sharing Agreement
IT/IM	Information Technology/Information Management
LAN	Local Area Network
MOU	Memorandum of Understanding
NTC	National Targeting Centre
OPC	Office of the Privacy Commissioner of Canada
PA	<i>Privacy Act</i>
PAA	Portal Application Administration
PDF	Portable Document Format

PI	Personal Information
PIA	Privacy Impact Assessment
PIB	Personal Information Bank
RDA	Records Disposition Authority
TBS	Treasury Board Secretariat
PNS	Privacy Notice Statement
TCP	Trade Chain Partner
TRA	Threat and Risk Assessment
TSU	Technical Support Unit
URN	User Reference Number
US	United States
VP	Vice-President
VPN	Virtual Private Network

DEFINITIONS

This section provides definitions of the terms frequently used in this report:

Action Plan	The Action Plan describes the steps that the Program will take to address risks that have been identified by the ATIP Division, the Office of the Privacy Commissioner (OPC) and TBS.
ACROSS	Accelerated Commercial Release Operations Support System (ACROSS) - A mainframe system that is used to validate and store TCP data and generate notices. It is also used to review and record admissibility decisions.
Administrative purpose	The <i>Privacy Act</i> defines an “administrative purpose” to be the use of an individual’s personal information in a decision-making process that directly affects that individual.
Administrative Monetary Penalty System	The Administrative Monetary Penalty System (AMPS) is a civil penalty regime that encourages compliance with CBSA administered legislation through the application of monetary penalties. An AMP applies to contraventions of the <i>Customs Act</i> , the Customs Tariff, and their regulations, as well as contraventions of the terms and conditions of licensing agreements and undertakings. The CBSA will use an AMPS to impose monetary penalties in proportion to the type, frequency, and severity of the infraction. Most penalties are graduated and will take the compliance history of the client into consideration. An AMP does not affect businesses that continue to comply with CBSA requirements and regulations.
Carrier Code	A carrier code is a four character unique identifier that is assigned by the CBSA to identify a carrier approved by the CBSA.
Confidentiality	A characteristic applied to information to signify that it can only be disclosed to authorized individuals to prevent injury to national or other interests.
Cargo	Commercial goods transported in any mode of transportation, detailed on a cargo control document, with a dedicated unique cargo control number.
Cargo Control Document	CBSA mandates that the information on all cargo/shipments being carried into or exported from Canada by a Commercial Carrier be reported on a document (electronic or paper) with a CBSA specified format. This document is called a cargo control document. It is also referred to as a cargo manifest and is used by the CBSA for risk assessment of the cargo and carrier and controlling the movement of the cargo.
Consistent use	Is a use that has a reasonable and direct connection to the original purpose(s) for which the information was obtained or compiled. This means that the original purpose and the proposed purpose are so closely related that the individual would expect that the information would be used for the consistent purpose, even if the use is not spelled out.
Conveyance	Any vehicle, aircraft or water-borne craft or any other contrivance that is

	used to move persons or goods.
Darryl	An access database where carrier records are stored.
Data Matching	A comparison of personal data obtained from a variety of sources, including personal information banks, for the purpose of making decisions about the individuals to whom the data pertains. Data matching is a specialized activity involving the collection, use and disclosure of personal information that is subject to the various requirements of the <i>Privacy Act</i> .
House Bill	A Cargo Control Document (electronic or paper) submitted by a Freight Forwarder for shipments that have, or will be, deconsolidated from another Cargo Control Document.
Importer Data	<p>An individual or business that imports commercial goods to Canada. The importer is responsible for:</p> <ul style="list-style-type: none"> · The payment of all duties and taxes to the CBSA. · The accuracy of the information presented to the CBSA. · Fines or penalties resulting from missing or inaccurate information. · Necessary import permits and special certificates needed. <p>In many cases a customs broker will act on behalf of the importer for a fee.</p>
Info Source	Is a series of annual TBS publications in which government institutions are required to describe their institutions, program responsibilities and information holdings, including Personal Information Banks (PIBs) and classes of personal information. The descriptions are to contain sufficient clarity and detail to facilitate the exercise of the right of access under the <i>Privacy Act</i> . Data-matching activities, use of the SIN and all activities for which privacy impact assessments were conducted have to be cited in <i>Info Source</i> PIBs, as applicable. The <i>Info Source</i> publications also provide contact information for government institutions as well as summaries of court cases and statistics on access requests.
Personal Information	Information about an identifiable individual as defined in section 3 of the <i>Privacy Act</i> . This definition, although lengthy, is not exhaustive, as indicated by the introductory phrase, "including, without restricting the generality of the foregoing". Information that is not specifically mentioned in the list may still be included in the definition of personal information if it qualifies as "information about an identifiable individual".
Personal Information Bank	Is a description of personal information that is organized and retrievable by a person's name or by an identifying number, symbol or other particular assigned only to that person. The personal information described in the personal information bank has been used, is being used, or is available for an administrative purpose and is under the control of a government institution.
Privacy	Is the right of an individual to be left alone, to be free of unwarranted intrusions. It is also the right of an individual to retain control over his or her personal information and to know the uses, disclosures and whereabouts of that information.

Trade Chain Partner (TCP)

A trade chain partner includes any individual or business involved in the import and export of commercial goods, and includes importer, broker, carrier, freight forwarder, service provider, and any other designated agent

SECTION 1 - OVERVIEW AND INITIATION

Report Objectives

This report is a Privacy Impact Assessment (PIA) for Build 1 of the eManifest project of the Canada Border Services Agency (CBSA). The objectives of this PIA are:

- to review the business processes in order to identify the flow of personal information;
- to analyze the collection, use, disclosure and retention of personal information;
- to determine if there are privacy risks associated with the Build 1 of the eManifest project; and
- to provide recommendations on the mitigation or elimination of the risks.

The information presented in this report follows the *Directive on Privacy Impact Assessment (2010.)*

The purpose of a PIA process is to ensure that privacy is considered throughout the project development cycle. The results of a PIA are a documented guarantee that privacy issues have been identified and adequately addressed.

Government Institution: Canada Border Services Agency, (Programs Branch)

Government Official Responsible for the Privacy Impact Assessment

Maurice Chénier, Vice-President

Head of the government institution / Delegate for section 10 of the *Privacy Act*

Dan Proulx, Privacy Director

Name of Program or Activity of the Government Institution:

eManifest Initiative: Build 1

Description of Program or Activity:**Risk Assessment**

The Risk Assessment program “pushes the border out” by seeking to identify high-risk people, goods and conveyances as early as possible in the travel and trade continuum to prevent inadmissible people and goods from entering Canada. This benefits the travelling public and the trade community by enabling the Agency to focus its examination and interdiction activities on high-risk people and goods, thereby facilitating the entry of low-risk travellers and goods. The Agency uses a variety of threat and risk assessment methodologies, intelligence and supporting technologies to identify potential risks to the security and safety of people and goods.

Targeting

The Targeting Program identifies people and goods bound for Canada that may pose a threat to the security and safety of the country. The CBSA uses a number of automated advance information sources from carriers and importers to identify people, goods and conveyances that may pose a threat to Canada. Advance Passenger Information and Advance Commercial Information provide the CBSA with electronic pre-arrival information on people and goods that can be used to perform risk assessments in advance of their arrival in Canada. Known threats are identified when there is a match against an enforcement database entry. People and goods that are identified as posing a threat to Canada are referred for verification and examination upon their arrival at a port of entry.

Description of the class of records associated with the program or activity:

Describes records related to eManifest. May include records related to the establishment or use of electronic systems used to administer or manage the program including the eManifest Portal, Data Warehouse and Passage components. Further, the Accelerated Commercial Release Operations Support System (ACROSS), Business Number (BN), Canadian Police Information Centre (CPIC), CBSA Assessment and Revenue Management (CARM), Commodity Search Component (CSC), Customs Commercial System (CCS), Customs Electronic Commerce Platform (CECP), Customs Investigations Information Management Systems (CIIMS), Citizenship and Immigration Canada's Field Operations Support System (FOSS), Facility for Information Retrieval Management (FIRM), Integrated Customs Enforcement System (ICES), Integrated Customs System (ICS), Integrated Primary Inspection Line (IPIL), Intelligence Management System (IMS), Police Information Retrieval System (PIRS), Tactical Information Targeting Analysis and Notification System, (TITAN), and the Traveler Entry Processing System (TEPS).

Document Types: Customs Act, Regulations, Customs Notices, Departmental Memoranda, Threat and Risk Assessment, Statement of Sensitivity, Preliminary Privacy Impact Assessment, Privacy Impact Assessment and Memoranda of Understanding.

Class of Record

CBSA IST 002

Number:

- ☐ Proposal for a New Personal Information Bank
- ☒ Proposal to modify an existing Personal Information Bank - identify PIB registration number and current description:

Title of PIB: eManifest

Description: This bank describes information that is used in support of determining the admissibility of commercial goods, conveyances and equipment into Canada. The personal information may include business to business comments, place of acceptance, tractor and trailer plates, place of consolidation, and name, address and phone number for the shipper, consignee, consolidator, dangerous goods contact, notify party and delivery party. Personal registration information will include business name, business type, company official name, position title, telephone number, fax number, email address, address, language preference, Unique Reference Number and signature of company official.

Class of Individuals: General public.

Purpose: Personal information is used to administer the eManifest program or activity and to conduct risk assessment in order to predetermine admissibility of commercial goods and conveyances into Canada, record the passage at the border, and act upon the recommendations resulting from the risk assessment process. Some personal information is used for registering carriers and freight forwarders so that CBSA systems can accept their electronic information. Personal information is collected under the *Reporting of Imported Goods Regulations* pursuant to *Section 12.1* of the *Customs Act*.

Consistent Uses: The information may be used or disclosed for the following purposes: Enforcement, safety, security, compliance management, reporting, and business analytics within the Canada Border Services Agency. It is also used for client support. Personal information may be disclosed to the U.S. Customs and Border Protection pursuant to *Section 107.1* of the *Customs Act*. Personal information may be shared with other government departments when and if required on a case-by-case basis.

PIA: Yes a PIA has been developed prior to the development of the PIB.

Retention and Disposal Standards: Under development

RDA Number: Under development

Related Class of Record Number: CBSA IST 002

Bank Number: CBSA PPU 048

- ☐ Proposed new Standard Personal Information Bank
- ☐ Proposal to modify an existing Standard Personal Information Bank - identify Standard PIB number and current description:

Legal Authority for Program or Activity:

Current Authorities

Section 12.1 Customs Act

- 12.1** (1) Before the arrival of a conveyance in Canada, the owner or person in charge of a conveyance who is prescribed or any other prescribed person shall give the Agency prescribed information about the conveyance and the persons and goods on board or expected to be on board the conveyance.
- (2) A person who is required to provide information under subsection (1) shall hold a valid carrier code unless they are exempt.
- 3) An application for a carrier code shall be made in the prescribed form with the prescribed information.
- (4) The Minister shall issue a carrier code to a person who applies for it if the application meets the requirements referred to in subsection (3) and the Minister is satisfied that the prescribed requirements and conditions for the carrier code to be issued have been met.
- (5) The Minister may, subject to the regulations, suspend, cancel or reinstate a carrier code.
- (6) The Minister may issue a notification to any person who provides information under subsection (1) to require the person to take any specified measure with respect to the information.
- (7) The person to whom a notification is issued shall comply with the notification.
- (8) The Governor in Council may make regulations for the purposes of this section, including regulations
- (a) respecting the information that must be given under subsection (1);
 - (b) prescribing the persons or classes of persons who must give the information under subsection (1);
 - (c) respecting the circumstances in which the information must be given under subsection (1);
 - (d) respecting the time within which and the manner in which the information must be given under subsection (1);
 - (e) regarding the requirements and conditions that are to be met before a carrier code may be issued;
 - (f) regarding the persons or classes of persons who are exempt from holding a valid carrier code; and
 - (g) regarding the manner and circumstances in which a carrier code may be suspended, cancelled or reinstated.

Section 107.1 Customs Act

107.1 (1) The Minister may, under prescribed circumstances and conditions, require any prescribed person or prescribed class of persons to provide, or to provide access to, within the prescribed time and in the prescribed manner, prescribed information about any person on board or expected to be on board a conveyance.

Section 7.1 Customs Act

Obligation to provide accurate information

7.1 Any information provided to an officer in the administration or enforcement of this Act, the Customs Tariff or the Special Import Measures Act or under any other Act of Parliament that prohibits, controls or regulates the importation or exportation of goods, shall be true, accurate and complete.

Section 109.1 Customs Act

Designated provisions

109.1 (1) Every person who fails to comply with any provision of an Act or a regulation designated by the regulations made under subsection (3) is liable to a penalty of not more than twenty-five thousand dollars, as the Minister may direct.

The following authorities are in progress and will be in place prior to us mandating the collection of the information:

Reporting of Imported Goods Regulations

Proposed coming into force date – Summer/Fall 2014:

The proposed amendments require highway and rail carriers to provide cargo and conveyance information electronically to the CBSA before the conveyance arrives at the border. This requirement gives the CBSA time to assess risks and make informed determinations without creating significant delays to the travel time of the carrier. Additionally, rail, air and marine carriers will be required to provide an electronic arrival message to the CBSA upon arrival in Canada. The proposed regulatory amendments also specify the terms and conditions for obtaining a carrier code and the grounds for suspending or cancelling a carrier code. The amendments also stipulate that carriers and freight forwarders be required to keep the information regarding their carrier codes up to date and are required to inform the CBSA of certain changes. The carrier code requirements ensure that carriers and freight forwarders are accountable for the advance commercial information they provide to the CBSA.

This also includes the additional requirements for freight forwarders to transmit electronic house bill information for consolidated cargo in all modes.

Further amendments to the *Reporting of Imported Goods Regulations* will take place at a later date to include the requirements for carriers to transmit the prescribed crew/passenger information within the prescribed timeframe and manner which will be covered in the Build 3 PIA.

The following regulations are also being updated:

Customs Sufferance Warehouse Regulations:

Proposed coming into force date - Summer/Fall 2014:

Under the proposed amendments, Sufferance Warehouse Operators will be required to acknowledge for the receipt of goods in their warehouse through an electronic arrival message.

Transportation of Goods Regulations:

Proposed coming into force dates - Summer/Fall 2014:

Currently, commercial carriers are required to keep records relating to all commercial goods transported by it to Canada for three (3) years plus the current year. Carriers are required to keep paper records about cargo that has been imported into Canada on previous trips (e.g., who shipped the goods and where the goods were delivered). Under the proposed amendments, these record keeping requirements will be extended to freight forwarders as well as include all information provided to and received from the CBSA electronically for three (3) years plus the current year.

Designated Provisions (Customs) Regulations:

Proposed coming into force dates - Summer/Fall 2014:

Currently, monetary penalties are not assessed by the CBSA against air and marine carriers regarding existing Advance Commercial Information (ACI) requirements. *The Designated Provisions (Customs) Regulations* will be amended to designate new subsections 12.1(2) and (7) of the *Customs Act* and new sections of the *Reporting of Imported Goods Regulations*. Together with existing designated provisions, this would allow for the CBSA to assess administrative monetary penalties for non-compliance in the following situations:

- failing to provide pre-arrival cargo and conveyance information;
- failing to provide cargo and conveyance information electronically or within the prescribed timeframes;
- failing to notify the CBSA without delay of a change to the advance commercial information provided;
- failing to comply with a notification issued by the CBSA regarding commercial goods destined for Canada; and
- failing to hold a valid carrier code.

The new administrative monetary penalties will conform to the existing standards of the CBSA's Administrative Monetary Penalty System (AMPS) program, which is based on uniform systematic criteria reflecting the risk and impact of each contravention.

Summary of the project, initiative, or change:

eManifest Project Overview (Build 1 to Build 3)

Purpose

The eManifest project will harmonize trans-border commercial processes between Canada, the United States (U.S.) and Mexico, thereby enabling the CBSA to increase the security and prosperity of Canada.

By eManifest end-state (Build 3), the CBSA will require pre-arrival, electronic receipt of cargo, conveyance, crew, and importer advance trade data in all modes of transportation. This advance information will be risk assessed using an automated system that will enable the Agency to make more informed decisions on whether to admit, examine or release the commercial goods upon arrival in Canada. As a result, resources will be focused on those people (in Build 3), commercial goods and conveyances posing the greatest risk to the security and prosperity of Canada. As an added benefit, the processing of commercial shipments will become more efficient.

Through the risk assessment of electronic advance commercial information prior to the goods arrival in Canada, the CBSA will increase its ability to target, screen, and detect patterns and trends. The ability to identify and interdict potentially high-risk people (Build 3), commercial goods and conveyances, while expediting the processing of low-risk people (Build 3), commercial goods and conveyances, will be greatly enhanced as a result of this risk assessment process.

Background

In April 2000, the Canada Customs and Revenue Agency (CCRA) launched a strategy for the evolution of Customs Programs in a document entitled *Investing in the Future: The Customs Action Plan 2000 – 2004*. Within this document, the approach for modernizing the Customs Program was clarified. The approach described in the Customs Action Plan is founded on improved risk management principles and the recognition that all people, goods, and conveyances entering Canada pose differing levels of risk. The ability to distinguish between the people, goods, equipment and conveyances that pose an unknown or greater level of risk and those that pose a lower level of risk, is fundamental to the security and prosperity of Canadian society.

Described within the Customs Action Plan are two initiatives that model the risk management platform within the Customs Commercial Process:

- Customs Self-Assessment (CSA) is a comprehensive program that concentrates on streamlined processes for commercial carriers and importers; and
- Advance Commercial Information (ACI), formerly known as Carrier Re-Engineering, is designed to employ risk-based, automated targeting against electronic carrier and commercial goods information transmitted before goods arrive in Canada, in order to detect high-risk goods, including contraband that may pose a threat to health, safety, and/or national security.

The CSA initiative was implemented December 3, 2001, at which time the focus shifted to ACI. eManifest was originally initiated by the ACI initiative under the Customs Action Plan and the Shared Border Accord (SBA) / Public Security Anti-Terrorism envelope.

A phased approach has been taken in developing and implementing the ACI initiative. In Phase I (April 2004), the CBSA introduced regulatory requirements and systems functionality to support the electronic, pre-arrival receipt and risk assessment of commercial information from marine carriers for commercial goods imported from offshore and transported by marine vessels. In Phase II (December 2005), similar regulations and systems functionality were introduced to support receipt of commercial information from air carriers importing goods. In addition, the existing requirements for ACI Marine were expanded to include goods imported from the U.S.

Phase III will be implemented under eManifest. eManifest will introduce the regulatory requirements and systems functionality to support electronic receipt and risk assessment of pre-arrival commercial information from highway and rail carriers, freight forwarders, importers, and brokers.

Overall Project Scope

A graduated multi-phased approach has been taken in the development and implementation of the eManifest project. The eManifest project consists of three Builds, which are as follows:

- Build 1 components, which have already been implemented
 - eManifest Portal & Portal Administration Application
 - Commercial cargo, conveyance and house bills information transmitted via the Portal
 - Commercial cargo, conveyance and house bills information transmitted via Electronic Data Interchange (EDI)
 - Commercial Document and Entity Management application
 - Operational use of the Data Warehouse in Risk Assessment
 - Testing of the Address Verification Interface (AVI) data preparation, which will be used in Build 2
- Build 2 – Planned to be implemented by July 2014
 - Electronic pre-arrival submission of importer information (advance trade and release data)
 - Automated risk assessment and Targeting Officer assessment (through new application) of importer, cargo, conveyance, and house bills in all modes (air, marine, highway, rail)
 - Data preparation and identity resolution
 - Passage: a new application for use by Border Services Officers to process commercial goods and conveyances at the border
- Build 3 – Planned to be implemented by December 2014

- Submission of pre-arrival crew information in all modes through EDI
- Submission of pre-arrival crew information in the highway mode through the eManifest Portal
- Automated Risk Assessment and Targeting Officer Assessment of crew information in all modes
- Passage: extending to crew
- Third party information used in Risk Assessment
- Submission of re-manifests in all modes through EDI
- Enhancements to risk assessment application
- Enhancements to data preparation and identity resolution

eManifest Build 1 Overview

Build 1 of eManifest, requires trade chain partners (TCPs) which include carriers, freight forwarders and service providers, to transmit electronic advance cargo and conveyance information in the rail and highway modes, and house bills in the air, marine, rail and highway modes to the CBSA according to the timelines outlined in the following table:

Type of Submission	Timeframe
Highway cargo, conveyance and house bill information	A minimum of one hour prior to arrival in Canada
Rail cargo, conveyance and house bill information	A minimum of two hours prior to arrival in Canada
Marine house bill information	Twenty-four hours prior to loading on the vessel at the last foreign port of loading depending on type and origin of goods
Air house bills information	Four hours prior to arrival in Canada or at departure for flights less than 4 hours in duration

Information Transmission Methods

Two electronic transmission methods are available to TCPs:

1. Electronic Data Interchange (EDI)

Electronic Data Interchange (EDI) is a standards-based computer-to-computer communication method that allows the CBSA's TCPs to transmit trade information to the CBSA through one of four options: a value-added network, a third party service provider, the Customs Internet Gateway (CIG), or by a direct connection to the CBSA.

TCPs must register with the CBSA before they can transmit information through EDI.

The registration process is paper based. The TCP must send a completed registration form (available on the CBSA website) to the Technical Support Unit (TSU) or Electronic Commerce Unit (ECU). Upon approval, a technical profile is created in a CBSA internal

system. TCPs send messages to CBSA's test environment and once approved can begin sending information to the live production environment.

Application forms are stored in a locked cabinet and are only accessible by 30 people (15 TSU employees and 15 ECU employees).

The EDI transmission method is available for all eManifest submissions: cargo and conveyance submissions in rail and highway modes and house bill submissions in the rail, highway, air and marine modes.

The personal information required in these submissions is limited to contact information, which has been listed in detail in section 3 of this PIA. The CBSA will not require that crew information be transmitted until Build 3 of the project when it will have the regulatory authority to collect this information; however, the EDI highway requirements for conveyance information do include crew information fields which are marked for future use. TCPs have been advised not to populate these fields, but many are doing so. The crew information is personal and therefore must be managed in accordance with the *Privacy Act*. It is important to note that while the CBSA will not have the regulatory authority to collect crew information electronically in advance in the marine, rail, and highway modes until 2015, the CBSA does have the authority to collect this information upon arrival.

Information transmitted through EDI is processed by a legacy system called the Customs Electronic Commerce Platform (CECP) for basic syntax validation. If syntax errors are found, the information is sent back to the client. If no errors are found, the information (with the exception of unsolicited crew information) is passed onto the Accelerated Commercial Release Operations Support System (ACROSS) for business validation.

Information received by the CECP can be viewed in the CECP system for client support or system administration purposes. These employees all have enhanced reliability security screenings. Access to the information within the CECP itself is not logged, but the CECP does not have the functionality to support searches by field, preventing specific personal information retrieval. At the end of the information is transferred to a tape where it is stored in a locked room for 7 years, as part of a larger group of information elements which it cannot be separated from. Employees can access the tape through sign in and approval.

CECP is enterprise infrastructure, which is used across multiple business lines, one of which is eManifest. The agency's long term vision is to replace this aging technology with updated infrastructure for the protection of personal information under the *Privacy Act*.

2. eManifest Portal

An alternate transmission method is the eManifest Portal (Portal), a secure web-based information transmission environment developed by the CBSA to allow highway carriers to transmit their eManifest trade information to the CBSA electronically via the Internet. The eManifest Portal consists of two components: the Portal Application interfacing with the TCPs and the Portal Administration component interfacing with internal employees.

Portal Application

Highway carriers and freight forwarders in all modes use the Portal to transmit pre-arrival information, edit their submissions and check the status of their submissions. When air cargo arrives in Canada on a highway conveyance, referred to as a flying truck scenario, air carriers submit highway conveyance documents through the Portal. Warehouse Operators and Brokers can also use the Portal to view Manifest Forwards (see notices section below for more information). The Portal allows the user to save trade documents as drafts, retrieve, cancel or submit trade documents and edit submitted trade documents.

The eManifest Portal further enables users to view, change, amend, cancel and verify the status of trade documents submitted through EDI. Users can obtain a status history and details regarding submitted trade documents.

Syntax checks are completed in the Portal itself. The Commercial Trade Service (CTS) responds to the eManifest Portal application requests to submit and retrieve trade documents in XML format for authenticated and authorized Portal users. The information is then sent to ACROSS for business validation.

Both internal and external access to the Portal Application is tracked and logged.

Portal Registration Process

Similar to the EDI process, Portal users must register with the CBSA and have a valid user account. The registration process requires company and personal information related to the user and acceptance of terms of use. The Portal retains the registration information, including limited personal information and shared secrets, in order to identify and authenticate users.

Highway carriers must have a valid carrier code and a Shared Secret issued by the CBSA to register for an eManifest Portal Business Account.

Shared Secret

A Shared Secret is a temporary access code that a business will require to register for the eManifest Portal the first time. It will be issued to the authorized representative of the businesses that request access to the eManifest Portal and have a valid CBSA-issued carrier code. The Shared Secret will be used to authenticate and validate a highway carrier company when creating an eManifest Portal Business Account. Only the CBSA and the authorized representative of the company have access to this information. Third parties do not have access to this information.

Cyber authentication

The Government of Canada is giving clients the option of using either a commercial credential service (Sign-In Partner) or a government-issued credential service (GCKey) to access online government services.

- The Sign-In Partner is a credential service offered in collaboration with participating financial institutions. This service allows clients to log in to the eManifest Portal using their established online banking credential.
- GCKey is a service that permits clients to use a unique government-issued credential that protects their communications with online government programs and services such as the eManifest Portal.

Portal User Account

An eManifest Portal User Account is a standard way for all users to establish their identity in the eManifest Portal. All users of the Portal must create an eManifest Portal User Account. To create User Accounts, clients will be required to log on to the Portal with their Cyber Authentication Credential and accept the Portal Terms and Conditions. The clients will need to provide personal information about themselves and their user preferences. The User Account will be created and a User Reference Number (URN) will be system-generated. The URN will be uniquely associated with the Portal User Account, and therefore the registrant.

Portal Business Account

A Portal Business Account is an area in the eManifest Portal dedicated to individual highway carrier companies to conduct secure information transmissions with the CBSA. Portal Business Accounts are managed by Account Owners who are authorized representatives of a highway carrier. To create a Business Account in the Portal, the carrier must provide a valid CBSA-issued highway carrier code and Shared Secret. A carrier code is a 4-character identifier issued by the CBSA to carrier companies. This is part of a pre-existing program activity and is outside the scope of eManifest. The issuance of the Shared Secret (described above) is new, and is the result of the implementation of the eManifest Portal registration requirements. Individuals will be required to provide personal information and the Business Account will be created (for a comprehensive list of registration information please see Section 3). The Account Owner may add additional users to the Business Account and assign them a role. To do this, the Account Owner must provide the designated user's URN, family name and email address, which must be obtained directly from the individual user.

Portal Administration Application

This component allows the Portal Administrators to provide client support and maintain the health and continued operation of the Portal. The Portal Administrators have the ability to monitor and view the details of all Portal Business Accounts. In order to ensure the health of the Portal and assist users, approximately 30 Portal Administrators are able to review and access all user profiles and preferences. The business information will always be displayed with the option of viewing additional details, such as notes,

attachments, event history and Portal users associated with the selected Portal Business Account.

Information Validation

ACROSS receives the trade information submitted through EDI or Portal, stores the information and validates business rules e.g. confirms the carrier code is valid, that province codes submitted in address fields are actual provinces.

ACROSS is a legacy system and is not a component of eManifest. Users must logon with an assigned ID and password in order to access the system and this access is tracked and logged.

As mentioned previously unsolicited crew information is not stored in ACROSS.

A new application called Commercial Document and Entity Management (CDEM), will be replacing some ACROSS functionalities by the end of Build 2. It is now being established for that future purpose, and will be in production as of March 2014. CDEM is an application that owns, manages, processes, and queries all commercial documents. CDEM will store multiple versions of these documents for use by various project components.

eManifest is being implemented incrementally, and until CDEM is fully operational and other new eManifest risk assessment components are implemented (Build 2), ACROSS and CDEM will be run in parallel. For Build 1, only the ACROSS version of the data is being risk assessed, and CDEM is really just being established for its future use in Build 2. More information on CDEM will be provided in the Build 2 PIA, once it is being used for risk assessment. However, it is not a user-facing system and is simply replacing old functionality and will be able to manage various statuses of documents.]